NAVAL POSTGRADUATE SCHOOL
Monterey, California

THESIS

AN INDUCTIVE STUDY OF THE DEVELOPMENT, APPLICATION, AND SOCIOLOGICAL IMPACT OF ETHICS INSTRUCTION AT THE UNITED STATES NAVAL ACADEMY

by

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March 1999

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19990504 109

DTIC QUALITY INSPECTED 4

REPORT DOCUMENTATION PAGE

Form Approved
OMB No. 0704-0188

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188) Washington DC 20503.

1. AGENCY USE ONLY *(Leave blank)*	2. REPORT DATE March 1999	3. REPORT TYPE AND DATES COVERED Master's Thesis

4. TITLE AND SUBTITLE : AN INDUCTIVE STUDY OF THE DEVELOPMENT, APPLICATION, AND SOCIOLOGICAL IMPACT OF ETHICS INSTRUCTION AT THE UNITED STATES NAVAL ACADEMY

5. FUNDING NUMBERS

6. AUTHOR(S)
Ryan, Richard J.

7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)
Naval Postgraduate School, Monterey, CA 93943-5000
United States Naval Academy, Annapolis, MD 21402-5022

8. PERFORMING ORGANIZATION REPORT NUMBER

9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES)
N/A

10. SPONSORING / MONITORING AGENCY REPORT NUMBER

11. SUPPLEMENTARY NOTES
The views expressed in this thesis are those of the author and do not reflect the official policy or position of the Department of Defense or the U.S. Government.

12a. DISTRIBUTION / AVAILABILITY STATEMENT
Approved for public release; distribution is unlimited.

12b. DISTRIBUTION CODE

13. ABSTRACT ***(maximum 200 words)*** This thesis studies the systemic aspects of ethics instruction and moral development that midshipmen are exposed to during their four year stay at the United States Naval Academy. This is a relatively untouched area of analysis at the Academy. Therefore, the research is approached inductively and holistically. Research includes theoretical, historical, comparative, quantitative, and qualitative examination of factors related to the generation of ethical and moral standards at the Naval Academy. Academic workload and classmate loyalty are both contributing components in a midshipman's statistical willingness to commit or overlook behavior that does not conform with the Academy's ethical doctrine. These components also negatively affect the complete assimilation of ethical concepts, as well as the practical employment of these concepts. Theoretically, early adulthood is a critical period in moral development and this has been repeatedly evidenced in the history of military education. However, the change that historically emerges from morally questionable incidents yields future benefit to the effectiveness of the institution. All academies can benefit from the recommendations for longitudinal measurement of ethics instruction systems, continued attendance to the critical voices of midshipmen, and information interchange between academies.

14. SUBJECT TERMS U.S. Naval Academy, Midshipmen, Ethics Instruction, Moral Development, Character Development, Honor Concept, Conduct System, Civil-Military Relations, Military Officers.

15. NUMBER OF PAGES
320

16. PRICE CODE

17. SECURITY CLASSIFICATION OF REPORT	18. SECURITY CLASSIFICATION OF THIS PAGE	19. SECURITY CLASSIFICATION OF ABSTRACT	20. LIMITATION OF ABSTRACT
Unclassified	Unclassified	Unclassified	UL

NSN 7540-01-280-5500

Standard Form 298 (Rev. 2-89)
Prescribed by ANSI Std. 239-18

Approved for public release; distribution is unlimited.

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Submitted in partial fulfillment

of the requirements for the degree of

MASTER OF SCIENCE IN LEADERSHIP AND HUMAN RESOURCE DEVELOPMENT

from the

NAVAL POSTGRADUATE SCHOOL

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ABSTRACT

This thesis studies the systemic aspects of ethics instruction and moral development that midshipmen are exposed to during their four year stay at the United States Naval Academy. This is a relatively untouched area of analysis at the Academy. Therefore, the research is approached inductively and holistically. Research includes theoretical, historical, comparative, quantitative, and qualitative examination of factors related to the generation of ethical and moral standards at the Naval Academy.

Academic workload and classmate loyalty are both contributing components in a midshipman's statistical willingness to commit or overlook behavior that does not conform with the Academy's ethical doctrine. These components also negatively affect the complete assimilation of ethical concepts, as well as the practical employment of these concepts. Theoretically, early adulthood is a critical period in moral development and this has been repeatedly evidenced in the history of military education. However, the change that historically emerges from morally questionable incidents yields future benefit to the effectiveness of the institution. All academies can benefit from the recommendations for longitudinal measurement of ethics instruction systems, continued attendance to the critical voices of midshipmen, and information interchange between academies.

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I. INTRODUCTION

A. BACKGROUND

In 1979, author James Lovell advanced a prediction for the following five to ten years that:

> Academy officials will continue to agonize over incidents of cheating, theft, falsehood, quibbling, and other manifestations of dishonorable conduct. Programs designed to cope with the problems will be spawned, modified, abandoned, and new programs instituted at a relatively rapid rate. Academic courses focusing on ethics will be introduced. In military leadership training, more attention than in the past will be paid to role-playing exercises which confront the student with ethically complex choices. Prominent guest speakers will be brought in to lecture on ethics.[1]

Lovell's trenchant predictions would in fact come to fruition, but in the case of the U.S. Naval Academy, five years later than he had predicted.

In the early 1990's, a spate of problems relating to the personal conduct of midshipmen at the United States Naval Academy, as well as commissioned officers serving in the fleet Navy and Marine forces, brought the system of moral development at Annapolis under close scrutiny by civilian and military leaders. In reality the incidents represented only a small minority of all midshipmen at the

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[1]John P. Lovell, Neither Athens Nor Sparta: The American Service Academies in Transition (Bloomington: Indiana University Press, 1979), pp. 297-298.

Academy and officers in the fleet. However, the incidents, albeit difficult to handle in the best of situations, were often handled poorly. Hence, they drew great attention in the media and noteworthy criticism from political oversight bodies. Further compounding the magnitude of these problems was the fact that this era of declining military budgets was bringing many service installations and organizations under the "right-sizing" knife. That these incidents had sullied the reputation of the Naval Academy is undeniable; that they could have led to crises affecting the future of the institution is altogether alarming.

The roots of the condemnations that accompanied these crises reach back to the Iran-Contra scandal. It was 1987 when three prominent Naval Academy graduates were implicated in affairs that transcended the bounds of honor and traditional military ethics. Consequent to Lieutenant Colonel North's unrepentant testimony that he had repeatedly lied to Congress, leadership courses at the Naval Academy were revised specifically to include issues of moral reasoning. Information on different schools of ethcis and prominent philosophers was installed in the curriculum through secondary sources.[2]

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[2] Interview conducted with Dr. Paul Roush on June 16, 1998. Dr. Roush is a Naval Academy graduate who served 26 years in the U.S. Marine Corps before returning to USNA in 1986, in what was then known as the Leadership and Law

For the preceding thirty years, ethics and philosophy matters had been in the domain of Humanities/Social Sciences and not Professional Development. Moral development had been considered implicitly addressed in core leadership courses since their inauguration. These core leadership courses were first introduced in 1922 when the Superintendent, Admiral Henry Wilson, reflected, "Physical condition, scholastic attainment, gentlemanly qualities, all have important places, but all are superstructures upon an adamant foundation which is character, with truth for a cornerstone."[3] Some of the sources in the core leadership courses had been unchanged since the days of Admiral Wilson, when the first leadership texts were written and taught by company officers in Bancroft Hall.[4]

In 1989, an incident occurred at the Naval Academy in which "a female mid . . . had been handcuffed [to a urinal], photographed and jeered by male classmates."[5] More public

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Department, now Leadership, Ethics, and Law. Dr. Roush has been intimately involved with changes to the leadership and ethics curricula since his arrival.

[3] Jack Sweetman and Thomas J. Cutler, The U.S. Naval Academy: An Illustrated History, Second Edition (Annapolis, MD: Naval Institute Press, 1995), pp. 176-177.

[4] Roush interview.

[5] "Congress To Review 'Kiss' Case." The Capital, March 28, 1991, pp. A1 & A10. The article noted, "Two of the mids received demerits and loss of leave time as punishment, but [the victim] resigned."

disclosures were made recounting episodes of "sexual harassment, hazing, and inconsistencies in honor code violations at the nation's [other] service academies."[6] In the political furor that ensued, the Senate Armed Services Committee included direction in the Fiscal Year 1991 military budget that the Naval Academy curriculum be revised to focus "attention on specific real life ethical situations that military officers face."[7] The Naval Academy response was to introduce a four-year Ethics Continuum, described narratively and functionally as "ethics across the curriculum." The continuum at Navy differed from the separate philosophical ethics courses already formed at the Air Force and Military Academies.[8]

In the midst of the Tailhook scandal that raged in the Navy from 1991 to 1993,[9] Secretary of the Navy O'Keefe sent an investigative team to Annapolis comprised of the Assistant Secretary of the Navy, the Director of Ethics from the United States Air Force Academy, and an ethics advisor from the Central Intelligence Agency. The team reviewed the

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[6] Ibid., p. A10.

[7] Senate Report 101-381, S. 2884, "National Defense Authorization Act for Fiscal Year 1991," p. 167.

[8] Roush interview.

[9] David Johnson, George Lucas, & Paul Roush [Eds], Readings in Philosophy and Ethics for Navy Leaders (New York: American Heritage, 1995), pp. 497-500.

Ethics-Across-the-Curriculum structure and deemed it inadequate in meeting the developmental needs of midshipmen.[10]

While changes were being formulated, the most notorious scandal in recent Academy history erupted, when an Electrical Engineering examination was compromised during the 1992 fall semester finals. The subsequent investigation ran well into the following year, revealing a coverup of widespread lying and cheating, as well as pervasive cynicism toward the honor concept within the Brigade of Midshipmen.[11] This time, substantive change was inevitable.

In February of 1994, Rear Admiral Thomas C. Lynch, Superintendent of the Naval Academy, appeared for hearings before the Senate Armed Services Subcommittee on Force Requirements and Personnel. The committee stated that "revitalization of the honor concept at the Naval Academy, as discussed before the hearing, is a matter of the highest importance."[12] Additionally, the committee directed that

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[10] Roush Interview.

[11] USNA Board of Visitors, "Report of the Honor Review Committee to the Secretary of the Navy on Honor at the United States Naval Academy," December 22, 1993, p. 1. The ten-person committee of distinguished political and military leaders was chaired by Ambassador Richard Armitage and included Vice Admiral James F. Calvert and Senator John McCain.

[12] Letter dated February 14, 1994, to Secretary of the Navy John Dalton from Senator Sam Nunn, Chairman of the

reports on deficiencies and corrective actions be submitted every four months.[13] Some of these corrective actions included the establishment of a core ethics course, a moral remediation program, appointment of a Character Development Officer, and implementation of a four-year character development plan with the incoming Class of 1998.[14] In response, Secretary of the Navy John Dalton reported to Senator Nunn in June that the new Superintendent, Admiral Charles Larson, had followed up on the "renewed and significant concern for ethical and character development . . . by integrating Character Development Goals and Strategies in the Academy's Strategic Plan and by implementing several character development initiatives."[15]

B. OBJECTIVE

> Honor . . . duty . . . loyalty . . . character. These words, which form the basis of the Naval Academy's mission, have as their common thread one irrefutable principle and mandate: the development of character. . . .

Committee on Armed Services. Other signatories to the memo were Senators Thurmond, Byrd, Shelby, and Coates.

[13] Ibid.

[14] Memorandum dated February 25, 1994 from Superintendent, USNA, "Character Development Program Plan of Action and Milestones," Enclosure 1.

[15] Letter dated June 3, 1994, from Secretary of the Navy to Chairman, Committee on Armed Services. Copies were also sent to Senators Thurmond, Byrd, Shelby, and Coats.

> Every other laudable goal, be it academic excellence, athletic prowess, or community involvement, is secondary to this overarching purpose.[16]

Today, nearly five years after the Honor Review Committee's recommendations for a comprehensive and integrated Character Development program, it is important to try to pinpoint indicators of the success of these initiatives. In this appraisal of the effectiveness of formal ethics instruction and character development at the United States Naval Academy, it is necessary to ask several supporting questions, namely:

- Are there measurable indicators of moral quality or ethical development for midshipmen, both as individuals and in the aggregate?
- How do midshipmen assimilate and employ ethical concepts presented in formal classroom instruction?
- How are midshipman attitudes affected and altered by the character development initiatives over the course of four years at USNA?
- How does the ethics program compare to similar programs at other U.S. and foreign service academies, in both structure and outcome?
- How does the Character Development program affect the leadership and instructional relationships between officers/faculty and midshipmen?

By identifying common themes in the answers to these questions, three benefits may be realized. First, faculty

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[16] USNA Board of Visitors, "Report of the Honor Review Committee to the Secretary of the Navy on Honor at the United States Naval Academy," December 22, 1993, p.4.

and officers (including Navy and Marine Corps Senior Enlisted personnel) involved in the ethical training of midshipmen may more precisely tailor their instructional efforts to the needs a particular class year, company, or individual midshipman. Second, the means for interpreting all manner of feedback on issues pertaining to moral development can be strengthened so that barriers to communication that are typically reinforced by positional, education, and generation gaps are broken down. Third, by leveraging the first two benefits with continuous and conscientious institutional self-assessment, confidence in the ethical quality of junior officers arriving in the Fleet Navy and Marine Forces from Annapolis can be strengthened.

The need for these efforts was underscored during the Tailhook scandal. At that time, media and political figures proposed that a morality shortfall in the fleet was rooted in weak ethical training at Annapolis. A 1997 article in *Baltimore* magazine commending the accomplishments of Admiral Larson during his second tour as Superintendent pointed out that "after the Tailhook scandal . . . skeptical eyes returned to the troubled, taxpayer-funded academy which posed as a bastion of honor but was repeatedly embarrassed by dishonorable behavior. What exactly were kids learning

there, anyway?"[17] There is some truth to the belief that Academy graduates make a sizeable impact on the organizational character of the Navy and Marine Corps. AS sociologist Morris Janowitz stated:

> Although attendance at a service academy is not universal for generals and admirals, the academies set the standards of behavior for the whole military profession. They are the source of the pervasive "like-mindedness" about military honor and for the sense of fraternity which prevails among military men.[18]

With this in mind, any effort to assess the Character Development and ethics instruction programs at USNA will likewise illuminate the ethical qualities of Naval Academy graduates and the moral quality of fleet culture. Furthermore, any effort to vigorously and truthfully discern the social outcomes of moral development initiatives can only reinforce the future interests of these programs at USNA.

C. SCOPE, LIMITATIONS, AND ASSUMPTIONS

The intent of this thesis is to determine how successful the restructuring of moral development efforts at USNA has been in inculcating midshipmen with the kind of value orientation that leads to organizational and

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[17] Linda DeLibero, "Sex, Lies, and the Academy," Baltimore, April 1997, p 58.

[18] Morris Janowitz, The Professional Soldier (New York: The Free Press, 1971), p. 127.

individual effectiveness, in both Annapolis and the Fleet. This will be accomplished by analyzing the influence of ethics instruction on midshipmen behaviors and attitudes over the course of four years.

Ethics instruction at USNA will be identified in two interdependent arenas, formal and informal. Formal instruction is the applied normative ethics instruction given through core and elective courses in Leadership, Ethics, Law, History, and Political Science. The monthly "Integrity Development Seminars" that all class years participate in will also be considered part of the formal instructional milieu. Informal ethics instruction incorporates the diverse modeling of moral concepts that midshipmen are exposed to in their daily routine and in the Ethics-Across-The-Curriculum continuum. This occurs in academic classes, at athletics, during military evolutions, and on liberty. The guidelines of the honor and conduct systems also help to define the bounds of informal ethics instruction.

It is understood that there are inherent difficulties in empirically defining abstract theories of ethical behavior and attitudes on morality. Thus, pure quantitative analysis is not the cornerstone of this research. However, pure qualitative induction is limited by the willingness of midshipmen to speak candidly of their experiences with

honor, ethics, and character development. These responses will undoubtedly be confounded by trust levels, rank-based intimidation (however unintentional), and the stresses caused by a midshipman's typical daily workload. Therefore, anonymous surveys are used to divine common themes within the midshipman experience. These responses are offset by a smaller number of similar surveys for faculty members. Finally, in order to lend perspective to the results, the surveys are supported by historical and comparative reviews of literature and contemporary ethics programs at service academies.

D. ORGANIZATION OF THE STUDY

This study is organized into eight chapters and four appendices. Following the introduction and background to the study provided in Chapter I, Chapter II is a discussion of the research theory and methodology. Chapter III is a review of the frequent sequential occurrence of political tension and change throughout the evolutionary history of organized military education. Chapter IV reviews pertinent studies that relate to the area of research, but do not necessarily address the topic in its entirety. Chapter V is a comparative analysis of the ethics education and moral development efforts at USNA with programs at other U.S. and foreign service academies. Chapter VI is a quantitative analysis of potential indicators of moral development

processes and outcomes. Chapter VII describes the results of the surveys. Chapter VIII merges conclusions drawn from research analyses with recommendations for practical employment of the conclusions, as well as potential questions for further research. Appendix A is the midshipmen survey used for this research paper. Appendix B is the faculty survey used for this research paper. Appendix C is the most recent available honor and quality-of-life survey, conducted annually by USNA's Institutional Research Survey. Appendix D is a longitudinal values survey of USNA midshipmen conducted between 1993 and 1994.

II. RESEARCH THEORY AND METHODOLOGY

This chapter describes the theory and various research methodologies that provide a foundation for this thesis. Ethics and moral development are inherently difficult topics for analysis and description, let alone for the creation of predictive models. For this reason, the research effort seeks to answer the primary questions from a variety of angles. This chapter will discuss what, how, and why different methods were employed toward the end goal of accurately assessing the diverse nature of ethics instruction provided at the Naval Academy.

A. OVERVIEW OF THEORY

The merits of any theoretical construct are strengthened when its representative and predictive capabilities are reliably validated through recurrent observation and operationalization. Sackett and Larson[19] discuss three factors that contribute to the empirical merits of research methods and findings: generalizability, validity, and usefulness. A study's generalizability is

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[19] Paul R. Sackett & James R. Larson, "Research Strategies and Tactics in Industrial and Organizational Psychology," in Marvin D. Dunnette & Leaetta M. Hough [Eds.], Handbook of Industrial and Organizational Psychology (Palo Alto, CA: Consulting Psychologist Press, Inc., 1990), p. 429.

linked to the expectation that its results could be repeatedly confirmed within the boundaries of the subject setting using other test methods, regardless of the specific personnel or temporal sample variables chosen. Validity differs from generalizability in that it relates specifically to identification of the cause and effect relationship in the observation or experiment. Usefulness represents the ease with which findings can be applied to specific organizational situations. In short, a theoretical construct is at its most representative and predictive when the results and valid, generalizable, and can be usefully operationalized.[20]

Confirming generalizability, validity, and usefulness in answering these research questions is made more difficult by the historical complexity of measuring psychosocial processes such as moral development and character. Studying this problem deductively would require development of a logical theory of empirical expectation, followed by accumulation of "observations that test whether the expected pattern actually occurs."[21] The test of deductive theory would hinge on quantifying the frequency of certain observational variables. The caveat in quantitatively

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[20] Ibid., pp. 428-431.

[21] Edwin Babbie, The Practice of Social Research (Belmont, CA: Wadsworth Publishing Co., 1998), p. 36.

researching character and ethics is that this method delimits measurement to predetermined responses, potentially neglecting ulterior reasoning behind the provided response options or altogether unanticipated responses.

Studying this problem inductively would require derivation of patterns that are consistent in a majority of large sets of observed behaviors. The test of inductive theory would hinge on classifying virtually limitless types of observations, rather than numbers of observational variables. Because of the broad data sets generated, pure qualitative research is both time and labor intensive. Furthermore, presenting comprehensive findings of qualitative research without drawing some level of quantitative significance detracts from the construct's operational usefulness to the organization.

So, in approaching research of the systemic experience of midshipmen in ethics and moral instruction at the Naval Academy, it is of critical importance to note the limitations of quantitative-deductive and qualitative-inductive evaluation. Research in this area is not only complex, but because of the newness of the programs at USNA, there is little background work available to help specifically define the relevant bounds of the topic. With these concerns in mind, "it is appropriate to consider strategies and tactics for enhancing generalizability at the

same time we begin to consider specific methodological procedures."[22] For this thesis, a multifaceted, holistic approach was taken.

B. OVERVIEW OF METHODOLOGY

The goal of this thesis is to obtain valid responses to the five main research questions presented in Chapter I. So that findings may be most generalizable and useful to the organization, answers will be holistically meshed to form a representative construct of the systemic aspects of moral development and ethics instruction at USNA. The accuracy of this construct will be ensured by inductively attacking the research questions - relatively complex and generally untouched at the Naval Academy - from a variety of methodological angles. The surveys of midshipmen and faculty described in Chapter VII form the cornerstone of this research. The results of these surveys are supplemented by the historical, comparative, and statistical analyses presented in Chapters III, V, and VI, respectively, as well as the review of literature in Chapter IV.

C. OVERVIEW OF SURVEYS AND ANALYSES

1. Surveys

Midshipman surveys were designed by the researcher

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[22] Sackett & Larson, p. 429.

based on themes addressed in quantitative surveys conducted previously at the Naval Academy.[23] The survey is "semi-qualitative" in nature, meaning some of the questions require strictly numeric responses adaptable to scaled measurement, more of the questions require essay-type responses, and all of the questions requested free form explanation of the given response, be it numeric or lexical.[24]

It has been stated that one primary demarcation of cultural boundaries is the discourse in use by the culture's members and that "discourse is the core of the change process."[25] The attitudes of midshipmen toward the moral development process can be partially evaluated through their discursive interpretations, realizing that "interpretation is made possible by prejudice and preunderstanding that are built in to the language that one inherits and uses."[26] In this light, gathering midshipman interpretations is as important to this thesis as is the collection of their

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[23] See Appendices C and D for copies of the surveys. The results of those surveys are discussed in Chapter IV.

[24] See Appendix A.

[25] Frank J. Barrett, Susan Hocevar, & Gail Fann Thomas, "The Central Role of Discourse in Large-Scale Change: A Social Construction Perspective" in Journal of Applied Behavioral Science, Volume 31, Number 3, September 1995, p. 353.

[26] Hans Gadamer in Barrett et al., p. 357.

responses to structured, multiple choice survey questions. Also, the use of open-ended questions provides a genuine indication of the relationship between concept and praxis. In other words, a midshipman's self-expression of feelings on honor, ethics, moral reasoning, and character are a truer reflection of potential moral behavior than can be statistically obtained in lengthy quantitative studies.

Surveys were distributed to thirty midshipmen in four core courses, one for each class year (1998 through 2001). Core courses were chosen because they afford the greatest opportunity for proportional representation of demographic background ethnicity, academic major, company, athletic and extra-curricular activity participation, age, preference and frequency of religious worship, previous military service, intended service selection, class standing, and gender. All of these factors exert some influence on a midshipman's systemic experiences in moral development and ethics instruction. In short, required courses present a typical cross-section of the Brigade of Midshipmen. Because trust and honor are extremely sensitive matters within the Brigade of Midshipmen, it was of paramount importance that these surveys be conducted anonymously if responses were to be truthful.

The survey of midshipmen involves thirty questions. Seven of the questions relate to anecdotal midshipman

experience. Three of the questions pertain to hypothetical scenarios. Two questions require response along Lykert scales. Fifteen questions pertain specifically to the honor system and three pertain to the conduct system. Seven questions address moral reasoning and moral action. Four questions related to the midshipman experience in formal ethics instruction programs. One question involves the connection of empathy to the daily midshipman routine. Except for the empathy question, all of the questions are linked to other relevant questions to measure the consistency of responses.

Complementary surveys of thirty members of the Naval Academy faculty were also conducted anonymously. The faculty survey is based closely on the midshipman survey, and is designed to get a corollary perspective on the same issues.[27] The surveys were distributed in two even groups of military and civilian faculty. These groups were further divided into groups of academic, athletic, and military influence. Five surveys were distributed to Group I (engineering) instructors and five to Group III (humanities/social sciences) instructors. Four surveys were distributed in the Group II (technical sciences) division. Three surveys were distributed in the Professional

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[27] See Appendix B.

Development division. Six surveys were distributed to athletic coaches. Three surveys were distributed to officers in Bancroft Hall. One survey each was distributed to a doctor, a librarian, a sponsor, and a chaplain. Again, a typical cross-section of influence on the midshipman experience was sought.

2. Historical Analysis

A review of political tension in the development of formally structured military education is described in Chapter III. This review serves three major ends in support of this inductive research. First, it highlights the historical constancy of politically mandated change in the organization of military education. Second, it demonstrates the laborious experiences agents of institutional change have undergone in effecting lasting curricular improvements. Finally, the historical review substantiates the notion that the painful incidents in curricular progress, when handled judiciously, have repeatedly yielded long-term benefits for the welfare of the military as a whole. The scandals that led to the recent changes in ethics instruction and character development at the Naval Academy are no exception. A discussion of these historical influences is intended to lend perspective to assessment of the potential outcomes of structural changes in military

training curricula.

3. Comparative Analysis

A comparative analysis of ethics instruction and character development at other U.S. and foreign service academies is presented in Chapter V. In the past twenty years, all of the federal U.S. service academies have adopted some form of comprehensive ethics instruction. This is also true for many foreign service academies. The catalysts for these programs have often been strikingly similar and, as a result, so have the structures of the programs. Where the Naval Academy program is one of the newer ethics initiatives, the lengthier experiences of other institutions can be utilized as an evaluative aid. Also, any assessor of Naval Academy programs can take guidance from the successes and failures of assessment efforts at fellow organizations.

4. Literature Review

The review of literature presented in Chapter IV approaches four separate subject features of the five research questions. The first aspect is a discussion of major theories of moral development in adolescents and young adults. The second aspect considers writings from the major theorists regarding methods of moral education. The review of these writings is punctuated by empirical studies of

moral development at civilian institutions of higher education. The third section is a discussion of three major proxies for quantitative moral assessment, the Moral Judgement Interview (MJI), the Defining Issues Test (DIT), and the Moral Judgement Test (MJT). The final area covered by the literature review, an area that presently suffers from a dearth of scholarly work, is service academy-specific evaluations of ethics processes.

5. Statistical Analysis

Any attempt to identify inductively the aggregate ethical state or moral climate within a designated working environment may be animated by advancement of the premise that there *are* readily discernible indicators of these states. Admittedly, quantitative analysis of psychosocial functions carries inherent weaknesses. Primary among these weaknesses is the relationship between the method of measurement and the behavioral tendencies targeted for measurement. The goal in creating a theoretical model for statistical inquiry is to pinpoint those factors that may exert potential influence on the subject behavioral tendencies. In order for the model to embrace the observed behavioral tendencies conclusively, the chosen model variables must embrace as many of those factors as possible. The problematic issue in this particular analysis is that

the variables from four years of data may not conclusively embrace tendencies that have been constructed over the course of twenty years.

To whatever degree the available data sets do embrace the variables, the observations as presented in Chapter VI can furnish measures of conformity to the behavioral standards and value systems of the organization. For the Naval Academy and the Brigade of Midshipmen, indicators of conformity to normative standards may be drawn from data relating to the conduct, military performance, and honor systems. Indeed, these systems are promulgated as administrative attempts to measure, demarcate, and enforce standards of conformity. An empirical study of these factors may highlight systemic strengths and weaknesses, as well as categorize associated shifts in individual behaviors.

III. HISTORY OF POLITICAL TENSION AND CHANGE IN MILITARY EDUCATION

Henry Mintzberg has stated that:

> machine organizations do sometimes change, however, at times effectively but more often it would seem at great cost and pain. . . . [They] seem to follow . . . a quantum theory of organization change. They pursue set strategies through long periods of stability. . . . [and] periodically these are interrupted by short bursts of change.[28]

Considering the military as a machine organization, institutions of military education would also follow this theory of organizational change. Contention between the civilian polity and the armed forces over the focus of military education is a more enduring factor in history than is generally recognized. This contention has often been the catalyst for costly and painful quantum change. From the time of the ancient Greeks, through feudal society, the Restoration, the industrial revolution and continuing into the development of the modern armed services, political leaders have worked sometimes with, and frequently against, military leaders in the quest for effective professional intellectual development of the nation's commissioned officers. This chapter will trace the historical origins of formal military education systems, with emphasis on the

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[28] Henry Mintzberg, "The Mature Context," The Rise and Fall of Strategic Planning (New York: The Free Press, 1994), p. 648-649.

painful "short bursts of change" that have characterized their progress.

A. USNA PERSPECTIVE OF POLITICAL TENSION

Should military leaders view civilian oversight of military education in times of trouble as a concern unique to the late twentieth century?

> In a series of high-profile cases, the U.S. military has too often turned a blind eye to mistakes and misdeeds by those in uniform. Are the traditional military values of duty, honor and integrity buckling under institutional pressure for damage control?[29]

This doleful inquiry from James Kitfield greeted readers of a 1995 article in the magazine *Government Executive* that followed closely on the heels of the worst cheating scandal[30] in Naval Academy history.

The article came just short of charging the military's leaders with professional malfeasance in their handling of a number of incidents. The incidents earned Naval Academy officials notoriety, for the most part deservedly, in political and media circles.

The incident in question happened during the final exam

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[29] James A. Kitfield, "Crisis of Conscience," Government Executive, October 1995, p. 15.

[30] For the purposes of this paper, I refer to "scandals" as incidents of a morally, ethically, or professional suspect nature that occur within the bounds of the military organization and receive preventive or investigative review by sources of government and media oversight.

period in December 1992, when administrators received word that an electrical engineering exam had been pilfered and disseminated. In the ensuing investigation by Naval Criminal Investigative Service, 28 midshipmen were charged with honor violations. However, a report by the U.S. Senate that the investigation had been botched led to another investigation, this time by the Navy Inspector General.[31] The inspector general's report revealed that at least 134 midshipmen were involved.[32]

Fallout from the "double-E" cheating scandal led to several new initiatives at the Naval Academy. These ventures are designed to anchor the education and military training of midshipmen in a formal foundation of professional ethics. They include a required three-credit course in ethics and moral reasoning, monthly Integrity Development Seminars, and the establishment of an endowed ethics chair.[33] The scandal also induced a subtle shift of emphasis toward morality and ethics in traditional academic classes. The reorientation of core courses, such as

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[31] Ibid., p. 17.

[32] Jeffrey Gantar, Michael O'Donnell, & Tom Patten, A Question of Honor (Grand Rapids, MI: Harper Collins, 1996), p. 154. The book continues on to detail how the Allen Board, a panel of officers led by RADM R.C. Allen, review the NIG findings and recommended 19 cases for dismissal and 29 cases for separation. The 29 were separated two weeks before graduation.

[33] Charles R. Larson, "The Next 150 Years," Proceedings, 122/9/1,123, September 96, 67-68.

"History of Western Civilization", from the study of socio-political movements to the study of ethics and diversity is just one illustration of that shift.[34] The changes, at a cost of nearly $2 million, were mandated by Secretary of the Navy John Dalton.[35]

B. CLASSIC GREEK PERSPECTIVE ON POLITICAL TENSION

In the *Anabasis*, Xenophon, father of military history and sociology, detailed the experiences of the Athenian Army of Ten Thousand from the perspective of its constituent members as a "polis."[36] He achieves this by describing the human experiences of the army's individual members to a greater extent than the organizational exploits of the army as a whole.

In the "Memorabilia" volume of *Anabasis,* Xenophon reports that Socrates happened one day upon a young friend (possibly Xenophon himself) whom he knew to be seeking a generalship in the army of Athens.[37] It seems that one Dionysidorus had recently established a school of military arts in the city, so Socrates took the occasion of this

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[34] Bruce Peniston, "The New Emphasis on Ethics." The Capital, February 26, 1995.

[35] Ibid.

[36] G. B. Nussbaum, The Ten Thousand: A Story in Social Organization and Action in Xenophon's Anabasis (Leiden, The Netherlands: E. J. Brill, 1967), p. 1-2.

[37] Oliver L. Spaulding, The Pen and the Sword in Greece and Rome (Princeton: Princeton University Press, 1970), p. 15.

meeting to relate the importance of just such a martial education to the ambitious youth:

> "Is it not," said he, " a most scandalous thing for one who aims at commanding the forces of his country, to neglect an opportunity of gaining the instructions necessary for it? And does he not deserve to be more severely treated, than he who undertakes to form a statue without having learned the statuary's art? In time of war, no less than the safety of the whole community is intrusted to the general . . . and therefore that man is worthy of no small punishment, who whilst he is unwearied in his endeavor to obtain this honor, takes little or no thought about qualifying himself properly for executing a trust of such vast importance."[38]

Immediately, the youth enrolled in the school and, upon encountering Socrates in a group of friends a short while later, proudly displayed his diploma.[39]

"Do you not think our young man here has acquired a new dignity, and looks far more respectable, now he hath learnt the art of commanding?" joked Socrates. "Inform us, I pray you, with what point your master began his instructions, that we may not be altogether ignorant of the matter?"[40]

"With the very same point he ended, the right ordering of an army, whether in marching, fighting, or encamping," replied the young man.[41]

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[38] Edward D. Spelman [Tr.], Xenophon, The Anabasis (New York: J. & H. Harper, 1844), p. 559.

[39] Spaulding, p. 15.

[40] Spelman, p. 559.

[41] Ibid.

Shocked, Socrates answered, "Surely, this is but a small office of the general . . .[42]" and went on to describe the importance of fields we would refer to today as logistics, personnel management, strategy, and tactics. "Then return to him and question him concerning it; for if he is not either very ignorant, or very impudent, he will be ashamed of having taken your money, and sent you away so little instructed.[43]"

The works of Xenophon are valuable to the twentieth-century analyst of civil-military relations because his observations are recorded without literary embellishment or subjective solicitation of the reader's opinion. In doing this, Xenophon enables the modern reader to draw his or her own conclusions regarding the events presented. Hence, the *Anabasis* is a convenient tool in illustrating the comparative nature of political tensions that existed in the fourth century B.C. and still occur during the twentieth century A.D.[44]

C. EMERGENCE OF ORGANIZED MILITARY LEADERSHIP TRAINING

In the annals of military organizations, the road to commissioning and promotion has been neither simple nor

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[42] Ibid.

[43] Ibid.

[44] John K. Anderson, Military Theory and Practice in the Age of Xenophon (Berkeley: University of California Press, 1970), p. 1-2.

standardized. As the anecdote from Xenophon relates, the ancient Greek military had some demand of skills in their leaders that is similar to those required of a modern military professional. An ambitious young man seeking a high-level promotion was required then, as now, to be proficient in maneuver, logistics, management, and technological concerns. However, this need for intellectual and physical aptitude was not always generously attended to or encouraged by the state, at least not to the degree that it has come to be provided for over the last 200 years. The effectiveness of modern military education systems have evolved from frequent failure and scandalous incompetence in sundry engagements throughout history and around the globe.

1. The Ancient Greeks

Ancient militaries had little use for institutions of formal military training. For example, the armies of ancient Greece were comprised entirely of landed citizen-soldiers known as hoplites. The property requirement was necessitated by the high cost of bronze armor and weaponry; usually, fifteen acres would provide sufficient economic surplus to afford the seventy pounds of equipage.[45] The tactics of phalanx warfare negated any need for a corps of well-educated officers. Military posts were elected in the same fashion as political posts. The success of a hoplite

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[45] John Keegan, A History of Warfare (New York: Alfred A. Knopf, 1993), pp. 244 & 249.

campaign depended not upon rigorously trained leaders inspiring from the front, but upon the savage crush of densely packed phalanxes, eight deep and bristling with iron-tipped spears.[46]

2. The Romans

The structure of the Roman army was more closely akin to modern militaries than either the hoplite phalanxes of ancient Greece that preceded it or the European feudal levies that would follow. The officers of the Roman army fell into three categories: "(a) *senatorial generals,* or generals to be, (b) *equestrians* or staff officers and battalion commanders, and (c) *centurions*, its company commanders and junior staff officers."[47] Appointment was made by Senatorial or aristocratic patronage, so there was evidently some civilian interest in the quality of junior officer recruits.[48] However, there was little formal military education prior to commissioning, training being obtained during the active service of an appointment.[49] Appointments in the Roman army generally represented an extended career of professional soldiering, a prerequisite

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[46] Ibid., pp. 247-249.

[47] Anthony R. Birley, The Roman Army Papers: 1929-1986 (Amsterdam: J.C. Gieben Publisher, 1988), 146.

[48] Ibid., p. 153.

[49] Ibid., p. 150.

to elective political office.[50] The concept of chivalry in the medieval period would eventually evolve from the Roman "system of education, the moral and physical training of the future warrior."[51] In fact, the word "scholar" during the reign of Constantine in the fourth century A.D. referred to a soldier "of the imperial bodyguard, a man disciplined in the service of the palace."[52]

3. The Feudal Levies

With the barbarian onslaught came the gradual erosion of a reliable Roman tax base to finance the standing military, and the professional armies of the empire gradually disappeared in the shadows of European feudalism.[53] Although the term "knight" originated during the founding of ancient Rome by Romulus,[54] the knight did not ascend to the noble class of vassal until the eleventh or twelfth century, when he secured heritable tracts of land known as fiefs.[55] At this point, the vassal's tenure was dependent upon contractual obligations to his lord, in the

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[50] Keegan, 268-269.

[51] Edgar Prestage, Chivalry (New York: Alfred A. Knopf, 1928), 38.

[52] Ibid.

[53] Keegan, p. 282.

[54] Joachim Bumke, The Concept of Knighthood in the Middle Ages (New York: AMS Press, 1977), p. 22.

[55] Susan Reynolds, Fiefs and Vassals (New York: Oxford University Press, 1994), p. 44.

form of feudal tribute, political counsel, and most importantly, military service.[56] Like the hoplite, the knight bore the expense of arms, armor, and horses. He underwent years of rigorous training, beginning as a young boy, in the mastery of these three categories of military outfit. Perfection of martial skills was essential to "maintain an effective level of military performance."[57] The same was not necessarily true in the case of the soldier's intellectual skills, at least for intellectual skills outside the martial realm.

4. The Armies of the Crusades

Two major military events stand out in any analysis of the transition from feudal levies to professional armies during the middle ages: the crusades and the Hundred Years War. The first crusade followed the call of Pope Urban II in 1095 to recapture Jerusalem from Muslim "infidels."[58] That the pope's motives may have been partially economic is apparent, but this first crusade was presented as a combination Holy War and pilgrimage to the Holy City in the

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[56] Andrew Ayton, "Knights, Esquires, and Military Service," The Medieval Military Revolution (London: Tauris Academic Studies, 1995), p. 81.

[57] Christopher Harper-Bill & Ruth Harvey [Eds.], The Ideals and Practice of Medieval Knighthood (Suffolk, England: The Boydell Press, 1986), p. 150.

[58] Philippe Contamine, Chivalry (New Haven, CT: Yale University Press, 1984), p. 59.

east.[59] These armies of God were led by the younger sons of lower nobles, the sons who were suffering under the practice of primogeniture and seeking both new fortune and romantic adventure.[60] Now, Christian men "who used to engage in mutual slaughter in the manner of ancient paganism [could] find a new way of gaining salvation . . ." and property in potentially more lucrative regions than western Europe had to offer.[61]

The warrior's new outward focus yielded two major results noteworthy for our purposes. One, the knights of the crusades banded together in holy orders, such as the Hospitallers and the Templars, that would mark the origin of the professional regiments of future European armies.[62] Two, the period of war in the east, from 1150 to 1300, offered a period of relative peace over comparatively large regions of Europe. This peace allowed money-based economies in mercantile European cities to flourish.[63] The citizens of these economies became so greedy and commercially engaged, however, that they would no longer perform military service themselves or pay to maintain a permanent standing

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[59] Ibid., p. 60.

[60] Keegan, p. 291.

[61] Maurice Keen, Chivalry (New Haven, CT: Yale University Press, 1984), p. 48.

[62] Keegan, p. 295.

[63] Contamine, p. 65.

army.[64]

5. The Mercenary Armies

From these mercantile economies came the second major military event in our analysis: the rise of the mercenary soldier. The mercenary armies prospered during the Hundred Years War (1337-1453).[65] This system, however, was problematic. For one, mercenary units were independently controlled, wholly undisciplined, and occasionally in conflict with one another while in the services of the same sovereign.[66] Also, when the work was complete, mercenary leaders might actually turn on their powerless mercantile employers.[67] Thus, as the Hundred Years War came to a close, Charles VII labeled them "the scourge of France" and pushed for the establishment of the first standing army since the Roman legions.[68] By the end of the Thirty Years War in 1648, the mercenary armies were for the most part gone, and disciplined professional armies, such as the civil war army of Oliver Cromwell, were a reality.[69]

D. EMERGENCE OF A MODERN MILITARY ACADEMY

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[64] Keegan, p. 231.

[65] Samuel P. Huntington, The Soldier and the State (Cambridge, MA: Harvard University Press, 1957) p. 21.

[66] Ibid.

[67] Keegan, p. 231.

[68] Brian Tierney, Western Europe in the Middle Ages, 300-1475 (New York: McGraw-Hill, 1992), p. 584.

[69] Huntington, p. 21.

The employment of standing armies was not the only factor that made war making radically different after the Restoration. The invention of gunpowder, muskets, and cannons also contributed to the genesis of military academies. Gunnery and combat engineering both demanded increased mathematical and technical education from their practitioners. At least nine schools for the development of technically sound officers were established in Europe between 1570 and 1670, including one under John of Nassau in 1617, three in Germany under Frederic Wilhelm between 1645 and 1666, and one under Louis XIV at Metz in 1668.[70]

However, the monarchs of Europe were less concerned with the effectiveness of engineering and artillery units than with the consolidation of their power. Even until the late 1700's, these branches of the military were the only ones not dominated by the aristocracy.[71] Centralization of absolute power could only be accomplished after the monarchs controlled the now permanent standing armies. In order to achieve this control, a king would subjugate the aristocracy by taking the sons of deceased or impoverished nobles (at an

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[70] Keegan, p. 344, & John Moncure, Forging the King's Sword: Military Education Between Tradition and Modernization: the Case of the Royal Prussian Cadet Corps, 1871-1918 (New York: Peter Lang Publishing, inc, 1993), p. 29.

[71] Huntington, p. 22.

early age)[72] and converting them into loyal disciples of the monarch at state run military schools.[73] In the late eighteenth century, with permanent armies now acting as guarantor's of the monarch's reign, military education and commissioning methodology began to take on a different face. Academies with a more liberal and generalized curriculum than the early technical and engineering schools appeared across Europe: in Germany at the *Voranstalten* (preparatory schools), at the *Hauptkadettenanstalt* (cadet school), and the *Kriegsschule* (war school) in Berlin; in St. Cyr, France at *L'ecole Speciale Militaire*; and in Britain at the Royal Military Academy of Woolwich and the Royal Military College of Sandhurst.[74] These academies came to resemble modern day service schools more so after aristocratic exclusion in the officer corps was swept away by the revolution in France, by official decree in Prussia in 1808, and in Britain when the system of "purchasing" commissions was abolished in 1871.[75] In summary, for the 900 years following the first crusade,

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[72] Moncure, p. 93. Frequently, boys were admitted as pre-teens.

[73] Huntington, p. 22, and Moncure, p. 27.

[74] Moncure, p. 33, Huntington, p. 42-44, and F.G. Guggisberg, The Shop: The Story of the Royal Military Academy (London: Cassel & Company, 1900), p. 1.

[75] Huntington, pp. 39-43. Huntington cites the year 1808 as the birth date of the modern professional officer corps, because of the Prussian decree instituting commissioning based on merit rather than birthright.

the systems of Western military education underwent a continuing and periodically tumultuous series of changes at the hands of civilian political administrators.

E. POST-RESTORATION TENSION AND CHANGE IN MILITARY EDUCATION

It requires no great research effort to find the seeds of civil-military controversy that have been sown in every historical row of the European military academies. Even the stories of their individual establishments have typically occurred amid a concern within the civilian polity stemming from oversight of the effectiveness of the armed services. The civil-military friction has commonly been centered either on cadet misconduct or the poor performance of the academy's graduates in the service of the state. However, this friction has generally resulted in favorable improvements to the system of military education and its constituent corps of professional officer graduates. A few examples will help drive this point home.

1. Founding of Woolwich

In 1764, King George III appointed Lieutenant Colonel James Pattison to the newly created position of Lieutenant-Governor of the Royal Military Academy at Woolwich. Woolwich, before closing, was the traditional training ground for British officers of engineering, artillery, and ordnance. At this point, twenty years after the its inception, the school was in a thoroughly dismal state of

affairs. Hazing, intoxication, and idleness were the order of the day among cadets. The civilian academic masters, heretofore unsupervised by the administration, were given to corruption and bribery. Admissions to the academy, based not on intellectual excellence but on patronage, yielded recruits who, in several cases, had practically no education whatsoever.[76]

Pattison's response was to institute sweeping changes at Woolwich. First, he divided the corps of cadets into four classes and the academy into upper and lower schools. This would allow the cadets to incrementally progress in common age groups through fundamental learning processes. Second, he appointed an inspector of studies, charged with the supervision of the school's masters, in demeanor, morality, and the quality of their lessons. Third, he required that all candidates take an entrance examination grounded in arithmetic and Latin grammar before a sort of "admissions board". By the time he left in 1777, Pattison had helped place "the organisation [sic] of the Academy on a much sounder basis."[77]

2. Founding of Sandhurst

In the 1790's, despite resounding victories by the British Navy under Lord Horatio Nelson, the British Army (under the "brave old Duke of York") was disgraced by the

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[76]Guggisberg, pp. 9-26.

[77] Ibid., p. 10.

French Grand Army, first on the hill of Cassel at Flanders and then at Alkmaar in Holland.[78] It was also widely held that the British, unlike their French enemy, had been fielding an army of drunken criminals led by a feeble band of ineffectual aristocrats.[79] Doubtless, the ignoble state of the British Army could not have escaped the concern of the civilian government, in particular Secretary of State for War Dundas and Prime Minister Pitt.[80] For them, the situation was made expressly delicate by the fact that the Duke of York, commander-in-chief of the expeditionary forces, was the favorite son of King George III.

To the rescue rode a cavalry colonel named John Gaspard Le Marchant, loyal staff officer and beneficiary of the Duke's good graces. Le Marchant devised a plan that would lay the foundation for the empire's future victories in Europe, India, and Africa during the nineteenth century.

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[78] Hugh Thomas, The Story of Sandhurst (London: Hutchinson & Co., 1961), p. 25.

[79] Ibid. p. 20. Major-General Craig, adjutant-general to the Duke of York, wrote: "'That we have plundered the whole country is unquestionable; that we are the most undisciplined, the most ignorant, the worst provided army that ever took the field is equally certain: ... there is not a young man in the Army that cares one farthing whether his commanding officer ... approves his conduct or not. His [family] ...can give him a thousand pounds with which to go to the auction rooms in Charles Street and in a fortnight he becomes a captain. Out of the ...regiments ...we have here, twenty-one are commanded literally by boys or idiots ... we do not know how to post a picquet or instruct a sentinel in his duty; and as to moving, God forbid that we should attempt it within three miles of an enemy!'."

[80] Ibid., p. 25.

Previously, commissions and promotions through the rank of lieutenant colonel were obtained only through purchase. This system evolved from a table of tariffs warranted by George II in which promotion hinged on the payment of increasing lump sums of money, with pricier ranks in the more prestigious regiments. The purchase system had been tolerated because the crown bore little of the expense, it prevented the rise of politically over-ambitious officers, and ensured that war was fought by loyal gentlemen with a property stake in the United Kingdom. The repercussions of the purchase system were clearly illustrated in the American colonies, Holland, and the hills of Flanders.[81]

Le Marchant's plan called for an Academy for the general education (not technical as at Woolwich) of officers based on quality and not patronage or purchase. The institution would also include an upper department for the education of senior staff officers, comparable to modern day war colleges. The plan had been presented in England before, along the lines of the *Kriegsschule* and *L'Ecole Speciale Militaire*. The difference this time was that Le Marchant had the energy to drudge through the considerable bureaucratic underbrush and also enjoyed an umbrella of protective coverage through sponsorship by the king's son. Consequently, Le Marchant's plan was approved by Parliament

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[81] Ibid., pp. 15-20.

on December 2, 1800, and a Royal Warrant established the institution as the Royal Military College in June of the following year.[82]

F. VICTORIAN ERA SCANDAL AND CHANGE IN MILITARY EDUCATION

1. British Military Schools

Both Sandhurst and Woolwich would publicly endure their share of structural and personnel problems in the Victorian era. At Woolwich in the first half of the nineteenth century, the discipline of the cadet company had fallen into moral disrepair. Idleness, bullying (hazing), servitude, and even riotous behavior had become commonplace, no doubt that "much of it was due to the lack of arrangements for occupying the cadets with some healthy form of recreation in their leisure hour."[83] Junior cadets were beaten with tennis rackets and shovels, burned with red hot pokers, hung naked over the parade deck by ropes from upper floor windows, and accosted in their sleep. This state of affairs greatly concerned influential parents and administrators. In 1845, the most notorious incident of the era occurred when more than 100 cadets rioted and destroyed the nearby fair at Charlton. In 1850, the administration introduced the "Annual Athletic Sports", which proved to be a great success in increasing the popularity of healthier pursuits and channeling cadet energies toward more morally acceptable

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[82] Ibid., pp. 32-33.

[83] Guggisberg, p. 56.

outlets and away from potential discipline problems.[84] Statistical evidence supports this program's success: in the 15 years preceding the introduction of organized sports, 871 cadets were convicted of conduct offenses; from 1854 through 1868, only 492 were convicted, a drop of nearly 40 percent.[85]

Huntington has stated that Britain's two greatest strides toward professionalism of the officer corps were made in 1856 and 1870.[86] Much of this can be attributed to the reforms at Sandhurst that were driven by poor performance of the officers leading the armies of the United Kingdom on the world stage. First, the Crimean War broke out in 1854 and lasted two years, during which the public was treated to a humiliating display of disorganization by the British forces. Tactics were outdated and unqualified officers were rushed from the military college to fill gaps in the front. The result in government was that committees on military education were set up in both the House of Commons and in the War Office. Within two years, an entrance examination was established, the senior staff college was separated from the junior department, the entrance age was raised to between 16 and 18, and all cadets were required to earn a gentleman's education at public

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[84] Ibid.

[85] Ibid., p. 218.

[86] Huntington, p. 33.

school before matriculation to the college.[87]

Second, the German defeat of France in 1871 shocked the world and earned them recognition as the preeminent military power on the planet. "The Prussian victors became the accepted models for professional soldiers everywhere, and students flocked to Berlin to study from the masters."[88] Lord Cardwell, Secretary of State for War, realized that the British Army could no longer afford to be inefficient and unprofessional. In 1871, he was able to persuade Parliament to abolish the system of purchasing commissions. From this point on, cadets would pass out of Sandhurst only after acceptable performance on a written examination.[89] The system of military education at the Royal Military College was to remain essentially unchanged for 50 more years.

2. Royal Military College of Canada

The Royal Military College of Canada (RMC) at Kingston also endured scandal and change in the Victorian era. In 1892, hazing had become so bad that all new cadets were required to sign an oath of abstention "from using physical coercion."[90] In 1896, the *Canadian Military Gazette* reported

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[87] Thomas, pp. 106-110.

[88] Stephen Ambrose, Duty, Honor, Country: A History of West Point (Baltimore: The Johns Hopkins Press, 1966), p. 196.

[89] Thomas, pp. 110-120.

[90] Richard A. Preston, Canada's RMC: A History of the Royal Military College (Toronto: University of Toronto Press, 1969), p. 132.

that the RMC "lacked discipline, that its drill was antiquated, that its cadets were drunkards, and that its staff were `unworthy of belief.'"[91] This, coupled with an unfavorable report on academic standards by the Board of Visitors, led to the resignation of the Commandant. To say the least, the future of RMC, then barely 20 years old, was in crisis.

To bolster the image and effectiveness of RMC, the War Office chose Major Gerald Kitson as the new Commandant. Unlike his predecessor, Major Kitson, as an infantryman, was an experienced warrior and not merely a technician. He was also twenty-two years younger than the former Commandant. It was hoped that these traits would bring a breath of fresh air into the training of junior officers. Kitson began making drastic changes, reorganizing the curriculum to drop nonessential courses, firing incompetent staff members and teachers, increasing the number and quality of entering cadets, and emphasizing the importance of modern drill, weapons training, athletics, and summer training camps. The cadets under this system would go on to serve honorably as lieutenants in South Africa and as field commanders in European trenches during World War I. Almost four years later, the *London Times* paid tribute to Major Kitson, who was leaving the college, by proclaiming "that RMC was doing `exceedingly good work, not only for the Dominion, but for

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[91] Ibid., p. 145.

the Empire.'"[92]

G. POLITICAL TENSION AND CHANGE AT U.S. SERVICE ACADEMIES

The political struggles that characterized operations at nascent military academies in the new United States closely mirror those that were experienced in Europe. Like the European academies, American academies have undergone their greatest structural changes in education and training under the guidance of civilian oversight. Despite the varying degrees of resistance that Academy officials have typically responded with, mandates for change have generally benefitted the institutions and strengthened their position within society. This pattern continues into the present day.

1. United States Military Academy

Two months after the signing of the Declaration of Independence, colonel Henry Knox, upon inspecting Army headquarters at Newburgh, proposed that "as officers can never act with confidence until they are masters of their profession, an Academy established on a liberal plan would be of the utmost service to the continent."[93] So began a 25 year crusade to launch an institution for military education on the model of European academies.

Following the British surrender in 1783, General

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[92] Ibid., p. 178.

[93] George S. Pappas, To The Point: The United States Military Academy, 1802-1902 (New York: Praeger, 1993), p. 5.

Washington published "Sentiments on a Peace Establishment", a short taxonomy of issues for the future of what was then the Continental Army.[94] In this document, he listed four specific needs: maintenance of a regular standing army; a plan for state-run militia; arsenals of military supplies; and "Academies, one or more for the Instruction of the Art Military."[95] The persistent efforts of men such as Knox, Washington, Alexander Hamilton, Baron von Steuben, Secretary of War Dearborn, and John Adams finally paid off in March, 1802, when Congress ordered, "That the said corps when so organized shall be stationed at West Point, in the State of New York, and shall constitute a military academy."

The early years at the Military Academy were marred by ineffectual training and chronic political friction between West Point and Washington regarding the need to fund improvements in training. Not surprisingly, the Army was ill-prepared when war with Britain reoccurred in early 1812. During thirty years of relative peace with the European powers, there had been little political motivation to tend to the needs of a permanent army. Now, Congress and President Madison wanted to raise Army strength levels from 7,000[96] to more than 145,000.[97] In April 1812, Congress

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[94] Ibid., p. 7.

[95] Ibid., p. 22.

[96] Ibid.

[97] Ambrose, p. 38.

passed a bill authorizing an increase in the number of cadets at West Point from 50 to 250. The same directive also standardized requirements for entrance age and educational background. This would all prove too little, too late. However, the lesson was clear. Except at the Battle of New Orleans, the Army performed miserably and the U.S. was forced to give up all hopes for conquest in the Canadian Territory.[98]

West Point's first Superintendent, Major Jonathan Williams, had resigned at the outset of the War of 1812. At that time, the job of Superintendent of the Military Academy was actually a collateral duty of the Army Chief of Engineers. Thus, William's replacement, Lieutenant Colonel Joseph Swift, was generally too busy inspecting front-line fortifications to attend the needs of the Academy during the war. These duties fell upon his second-in-command, Professor of Engineering, and senior member of the Academic Board, Lieutenant Alden Partridge. In 1815, a year after the war ended, Partridge convinced President Madison that his wartime efforts at West Point had made him worthy of appointment to the first truly dedicated position as Superintendent. Madison declared that the Army Chief of Engineers could best serve the interests of the nation by attending to operational matters and the Superintendent could do his part for the welfare of the officer corps by

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[98] Ibid., pp. 39-43.

directing the training of cadets.[99]

With power at "the Point" now officially centralized in his hands, Partridge applied himself to reforming and refining every aspect of the Academy's training curriculum. Although he was an intelligent officer who displayed genuine concern for the future of the institution, his administrative and supervisory methods would eventually bring continuous fire from Washington. For one, Partridge felt that rigid discipline was paramount among all subjects, and inflicted stringent punishments on cadet violators, up to and including confinement in an eight foot hole with a wooden lid.[100] When Congress and the White House pushed for expansion of the curriculum to rival civilian universities, the Academic Board responded by designing a four-year program of philosophy, math, engineering, geography, letters, history, and ethics. This, Partridge rejected out of hand; any such program would cause him to relinquish too much power to the faculty.[101] Later Partridge was alleged to have treated his relatives and neighbors to lucrative contracts to supply food and uniforms, as well as harvest and sell government timber. Of course, Partridge wielded authoritarian decision-making power in those areas of

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[99] Pappas, p. 76.

[100] Ambrose, pp. 51-52.

[101] Pappas, pp. 82-83.

contracting.[102] The case against him intensified when, under his inept tutelage, one cadet was killed and another lost an arm in separate mishaps related to artillery drill. The academic staff complained that he was given to frequent unannounced take-overs of classes he was wholly unqualified to teach. He was also accused of commissioning cadets as officers based on favoritism and not the legally required examinations.[103]

Eventually, the politicians in Washington could no longer tolerate or ignore Partridge's malfeasance. In 1816, the Secretary of War ordered an inquiry into the Superintendent's follies.[104] That same year, General Swift, as the Academy's Inspector General, and President Madison personally inspected West Point. In 1817, the new President, James Monroe, was also induced by incidents at the Point to pay a visit. These three investigations led Monroe to order the replacement of Partridge with Brevet Major Sylvanus Thayer.[105] However, when Thayer arrived at West Point, Partridge resisted relief and attempted to incite a mutiny among the cadets. He was promptly arrested, later convicted, and finally cashiered from Army service.[106]

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[102] Ambrose, pp. 52-53, & Pappas, p. 82.

[103] Pappas, pp. 81 & 89.

[104] Ibid., pp. 83-84.

[105] Ambrose, pp. 54-57.

[106] Ibid., pp. 53-56.

For the two years prior to his arrival, Thayer had studied military education at the service academies of Europe.[107] Thayer worked quickly to enlist support from the faculty and the Corps by metering discipline at appropriate levels and refraining from interference in areas where he was unqualified. His important curricular changes included: a board of visitors to the academy; a four-year program of instruction, including specific subjects in which instruction was to be given; general examinations administered twice yearly; and graduation according to order of merit.[108]

Changes on the magnitude of the Thayer reforms would not be seen at the Military Academy until the early 1920's, when MacArthur attempted to stamp out hazing, institutionalize athletics, codify the honor system, improve pay, liberalize regulation, and modernize the curriculum. The main difference between the MacArthur and Thayer administrations is that MacArthur only had three years to transform the Point, while Thayer had seventeen.[109] Thayer's legacy of improvement would continue to impact the West Point system, and eventually the curricular systems at

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[107] Juergen Arthur Heise, The Brass Factories (Washington: Public Affairs Press, 1969), pp. 25-26.

[108] John P. Lovell, Neither Athens nor Sparta? The American Service Academies in Transition (Bloomington: Indiana University Press, 1979), p. 21.

[109] Ambrose, pp. 269-282.

the newer academies, well into the twentieth century.[110]

2. United States Naval Academy

For many years following the American Revolution, there were public cries from military and government luminaries to establish a commissioning school for Naval Officers. In 1799, Alexander Hamilton called for specialized secondary education for officers of artillery, infantry, cavalry, engineering, and the Navy.[111] The British had maintained a Naval School ashore from 1806 to 1837,[112] and the French Naval College opened its doors in 1830.[113] From 1823 to 1829, Secretary of the Navy Samuel Southard submitted no less than four bills to Congress authorizing creation of a Naval Academy. None passed, but one missed by only one vote.[114] Still again, scandal and incompetence would unfold in the public eye to help rescue stagnant designs for improving military education.

IN 1842, Midshipman Philip Spencer set sail to Africa in the brig *USS Somers*, under the command of Alexander Slidell MacKenzie. Spencer had avoided jail time by

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[110] Heise, pp. 24 & 28.

[111] Jack Sweetman and Thomas J. Cutler, An Illustrated History of the United States Naval Academy (Annapolis, MD: Naval Institute Press, 1995), p. 6.

[112] Huntington, p. 44.

[113] Leland Pearson Lovette, School of the Sea: The Annapolis Tradition in American Life (New York: Frederick A. Stokes Co., 1941) p. 44.

[114] Sweetman & Cutler, p. 9.

entering the Navy as an officer trainee with considerable help from his father, the Secretary of War. Having been drummed off of three other ships for assorted offenses, he was repeatedly returned to the service through political influence. Unable to deliver his vessel of certain human liability, MacKenzie sailed to Africa to resupply Commodore Perry's squadron.[115]

On the return trip, a steward warned the captain that young Spencer was organizing a mutiny. After an interview with MacKenzie, Spencer was arrested that evening, then tried before the entire crew for mutiny the following morning. After 36 hours of deliberation, the court convicted him, along with two other would be mutineers. Ten minutes after the verdict was read, the three young men swung by their necks from the yard arm of the main mast.[116]

The public outrage that greeted the return of *USS Somers* to New York, as well as the rage of the elder Spencer, sparked action in government to finally rectify the problems of the Navy officer training and commissioning program. Less than three years after the *Somers* incident, Secretary of the Navy George Bancroft dedicated the new Navy School on the Army's old Fort Severn. As in other U.S. and European services, civil-military tension had once again

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[115] Kendall Banning, Annapolis Today (New York: Funk & Wagnalls, 1939), pp. 112-114.

[116] Ibid.

yielded major improvements to the system of military education.[117]

In 1850, when the Naval School at Annapolis was renamed the U.S. Naval Academy, the course of instruction was redesigned to include mathematics, philosophy, military tactics, modern languages, and ethics. The four year course of instruction was also adopted at this time. Ethics instruction was discontinued in 1873, not to be seen again at Annapolis for 120 years.[118]

In the aftermath of the surprise launch of the satellite *Sputnik* by the Soviet Union in 1957, a national debate erupted over the effectiveness of the military to meet potential threats. The service academies received direction from Washington to review just how well their programs supported the nation's security needs.[119] Over the next fifteen years, the Naval Academy curriculum would experience an overhaul and modernization effort that became known as the "academic revolution".[120]

The modernization began under the direction of Superintendent Charles Melson who in 1958, based on his

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[117] James Calvert, The Naval Profession (New York: McGraw Hill, 1971), pp. 59-60.

[118] James Russell Soley, Historical Sketch of the United States Naval Academy (Washington, Government Printing Office, 1876), pp. 90 & 202.

[119] Lovell, pp. 160-161.

[120] Sweetman & Cutler, p. 226.

familiarity with the already liberalized curriculum at the Air Force Academy, urged a review committee to specify possible reforms for Annapolis. The committee's report recommended adoption of validation exams, a minors program of elective courses, and shift from vocational to theoretical focus in technical classes. These changes were implemented as Melson left in 1960. However, they would prove insufficient to concerned civilian officials.[121]

In the 1950's and 1960's, Admiral Rickover exercised such influence in civilian government circles as to represent a quasi-political oversight figure. This, despite the fact that he was an active duty Naval Officer. He was not consulted on the Melson reforms and because the submarine service was a direct beneficiary of the quality of Academy graduate available, he made his displeasure readily known to all. Rickover had personally interviewed all prospective submarine officers and expressed satisfaction with the quality of NROTC officers arriving in the fleet. On the other hand, he felt that Academy life destroyed an officer's analytical abilities and motivation to continue life-long learning.[122]

In 1962, Rickover recommended the following changes to Congress: reduced maximum age limits for admission; more stringent academic entrance requirements; more flexible

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[121] Lovell, pp. 161-162.

[122] Ibid., pp. 163-168.

physical standards; reduced demands of non-academic activities for midshipmen; increased "civilianization" and increased educational qualifications of the faculty; decreased emphasis on practical training; and surprisingly, increased availability of liberal arts and elective courses. Secretary of the Navy Korth was receptive and announced similar curricular policy changes that same year. In the ensuing political furor, change was stalled, and two years later Rickover again declared before Congress, "The appearance of education is there, but not the reality."[123]

The Naval Academy curriculum and educational structure would remain in conflict-driven flux throughout most of the 1960's. Due to the efforts and oversight of Congress, several Superintendents, the Pentagon, countless committees, the board of visitors, and the accreditation board, substantive permanent change had finally been effected by 1972. A short list of the changes that helped bring "the Naval Academy kicking and screaming into the twentieth century" includes: appointment of a civilian Academic Dean; appointment of an Academic Review Board; establishment of a Faculty Forum; abolition of forced grading quotas; adoption of a Masters degree requirement for all academic instructors, military or civilian; use of the "whole-person" concept in the admissions process; institution of a choice-based majors program; construction of a modern university-

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[123] Ibid.

style library; and improved instructional facilities. In the end, most of Rickover's exhortations were realized, and the benefits are enduring nearly thirty years later.[124]

H. SUMMARY

To the contemporary politico-military leader, the maxim of the "Anabasis" anecdote is as practical and incisive today as it was 24 centuries ago.[125] The contention between Socrates and Xenophon illustrates a familiar scene. The lesson emphasizes the importance of innovative guidance of military trainees through areas such as organizational theory, morality, economics, patriotism, and social status. In retrospect, we repeatedly see characters like Socrates, Pattison, Le Marchant, Kitson, and Thayer who set about making substantive change in much the same fashion as Admiral Larson did at the U.S. Naval Academy in the early 1990's. These lessons highlight the recurring civil-military struggle over the content of military training and education.

The struggle of values is more the rule than the exception and has consistently emerged from common origins. First, it is generally accepted that the military exists to protect the interests of the nation-state, be they economic, religious, or geographic. The system of military education exists to maintain and improve the quality of the corps of

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[124] Sweetman & Cutler, pp. 219-237.

[125] Anderson, p. 1-2.

military officers and, in turn, the effectiveness of the military. Therefore, because of its effects on national security, civilians and politicians have a mutually vested interest in the health of the military education system.

Next, military members, especially academy cadets, have often perceived that they are held to a higher standard than the general population from which they are drawn. For the most part, this perception is understandably accurate and the reasons, a product of the origins of the officer corps, are twofold. One, the evolution of a professional officer corps was fueled by the ambitions of Europe's nobles and social elites.[126] The officer's historical pedigree has created a traditional image of the officer's position within the social strata. Two, the critical importance of an officer's competence in successfully discharging the duties of national defense demands the highest qualities of personal character.

So, when trouble erupts within the ranks of the officer corps or cadet corps, public outcry is usually more intense than that which might be expected from similar situations at comparable civilian institutions, such as Microsoft or UCLA. This happens in spite of the fact that the troubles occurring are often no worse, and sometimes milder than, those occurring in civilian society.

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[126] Richard W. Barber, The Knight and Chivalry (Ipswich, UK: Boydell Press, 1974), p. 28.

When these scandals do occur, they can signal political and civilian leaders that there is a potential need for cathartic structural change. Conversely, the military's traditional tendency is to oppose and resist institutional catharsis, especially that change mandated under the aegis of civilian oversight. In the history of professional standing militaries, this struggle has been complex by nature, essential to the maintenance of a productive balance of power between civilians and the military, and ubiquitous regardless of nation or era.

In short, the frequent appearance of scandal and civil-military tension in service academy chronicles parallels the course of quantum change and curricular progress in mechanistic military training organizations. So, despite the common espousal of views by politicians that the moral fabric of the next generation's officers is coming apart at the seams, and the lamentations of military leaders that the armed forces can not afford to endure continued friction with civilian leaders, the civil-military friction caused by scandal and the change that has emerged from these scandals' ashes are surprisingly typical, and perhaps crucial, to the long-term health of such military institutions of higher learning. Scandal-driven change would be easier for Naval Academy officers to leverage if these facts were more intimately appreciated.

IV. LITERATURE REVIEW

This chapter outlines major moral development theories that may apply to developmental phenomena within the Brigade of Midshipmen. There is also a discussion of tools that have been developed to measure moral development. The chapter concludes with a review of research specific to ethics and moral development at colleges, universities, and military academies around the world. Because the available body of research related to the development of ethics and morals at service academies is limited, research discussed in the literature review is drawn from a broad range of sources that parallel the methods, goals, and populations of service academies.

A. THEORIES OF MORAL DEVELOPMENT

1. Kohlberg and Cognitive Development Theory

One of the pioneering and most prolific writers on the theory of moral development in adolescents was Lawrence Kohlberg. Kohlberg's dissertation, completed in 1958, was an attempt to carry forward Piagetian theories of moral development in children. In doing this, he utilized the same two basic assumptions and the same methodology that Piaget had used in creation of the cognitive-development theories of moral maturation.[127] Piaget's first major

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[127] Lawrence Kohlberg [Ed], "Essays on Moral Development" Volume II, The Psychology of Moral Development

assumption was that the child has a burgeoning sense of social or relational justice that leads to the creation of cognitive structures concerning ideas on morality. This moral structure, he believed, evolves independently of the drives for rule enforcement and moral training that is typical of most parenting units.[128] The second assumption was that this cognitive construction occurs in three chronological stages that are each qualitatively different from the others. Piaget had completed his studies based on observations of children at play and follow-up interviews of those children.[129]

So, utilizing Piaget's theory of cognitive-development stages, as well as his methods of interview and observation, Kohlberg's was able to extended Piaget's findings into theories of adolescent development. In the process, he derived three additional stages of moral development. The result was his "Six Moral Stages", described "in terms of (1) what is right, (2) the reason for upholding the right, and (3) the social perspective behind each stage."[130]

Kohlberg's ideas were in direct conflict with the

(San Francisco: Harper & Row, Publishers, 1984), p. *xxvii*.

[128] Jean Piaget, "Moral Judgement: Children Invent the Social Contract" in Howard Gruber and Jacques Voneche, The Essential Piaget, (New York: Basic Books, Inc., 1977), p. 190.

[129] Piaget, pp. 186-189.

[130] Kohlberg, p. 173.

traditional moral development theory of the day. For the previous twenty years, the merits of behaviorism and socialization had gone virtually unchallenged. These schools pronounced that morality is a matter of learning and conforming to the structure of societal norms. It is not the individual, they proposed, but the society that creates standards of morality.[131] The individual's task in behaviorist environs is to adapt to normative structures, a process that begins when the individual is old enough to understand those structures and their associated penalties.[132] Hence, the popular 1950's psychology term for states of being "adjusted", "well-adjusted", and "maladjusted."[133] Kohlberg's cognitive development studies flew in the face of commonly accepted theories of the day.

Kohlberg's six stages were grouped equally in three major levels: the preconventional, conventional, and postconventional. The levels were delineated by the differing relationships between the individual's rules and the rules of society. At the preconventional level,

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[131] James Rest, "Background: Theory and Research" in James Rest & Darcia Narvaez [Eds], Moral Development in the Professions: Psychology and applied Ethics (Hillsdale, NJ: Lawrence Erlbaum Associates, Publishers, 1994), p. 2.

[132] Roger V. Burton & Linda Kunce, "Behavioral Models of Moral Development: A Brief History and Integration" in William Kurtines & Jacob L. Gewirtz [Eds], Moral Development: An Introduction (Boston: Allyn and Bacon, 1995), p. 149.

[133] Rest, "Background: Theory and Research", p. 2.

occurring prior to the age of nine, the individual follows the rules of society to avoid punishment or to serve the individual's own interests. At the conventional level, in most cases attained during late adolescence and early adulthood,[134] morality is based on conscience, citizenship, and maintenance of social order. At the postconventional level, attained only in a minority of adults, morality is based on a belief in universal principles and an obligation to contractual social commitments.[135]

In order to test and refine the validity and generalizability of these findings, Kohlberg initiated a twenty-year longitudinal study that was first published in 1983.[136] Kohlberg and his colleagues interviewed the subjects of his original studies every four years. Interviews categorized responses to questions regarding hypothetical moral dilemmas such as the famous "Heinz dilemma".[137] These problems were presented free of any defining situational context, and responses were later

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[134] Ann Higgins, "Educating for Justice and Community: Lawrence Kohlberg's Vision of Moral Education" in Kurtines & Gewirtz, p. 50.

[135] Kohlberg, pp. 172-177.

[136] Anne Colby, Lawrence Kohlberg, John Gibbs, & Marcus Lieberman, "A Longitudinal Study of Moral Judgement" in Bill Puka [Ed], Moral Development: A Compendium (New York: Garland Publishing, Inc., 1994), Volume V, pp. 1-124.

[137] Rest, "Background: Theory and Research", p. 4 & p. 13.

scored against common stage traits. The new study helped confirm his original findings, as well as remedy some of the methodological problems associated with consistency in the scoring of interviews. The results validated his assertion that moral development occurs sequentially when measured against the six stages. Additionally, the longitudinal study showed that the course of development and stage consolidation is a slow and gradual process.[138]

Despite the defining nature and significant influence of his meticulously researched writings, Kohlberg's work was not without critics. Kohlberg himself credits two articles (Kurtines & Grief; Simpson) in 1974 with leading his theory and methodology to fruitful transition.[139] After 1975, he dedicated his labors to clearly defining the characteristics of each stage and showing the numerical sequentiality of the stages. His results were completed with Anne Colby and published in the seminal, two-volume work, *The Measurement of Moral Judgement*. This piece commanded great respect[140] and gave life to his "staircase" metaphor: moral stages are encountered in staircase fashion, always leading upwards,

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[138] Kurt Fischer in Colby et al., pp. 97-98.

[139] Peter Langford, Approaches to the Development of Moral Reasoning (Hove, UK: Lawrence Erlbaum Associates, Publishers, 1995), p.69.

[140] Ibid., p. 110.

with no opportunity to skip steps or regress.[141]

2. Gilligan and Constructivist/Interpretive Theory

On a "meta-theoretical level",[142] social constructivist and interpretive theories share many similarities that distinguish them from structural behaviorism and cognitive development. Both sets of theories describe how social groups construct reality and interpret shared meaning of significant events. In contrast to the "individualistic" foundations of other theories, constructivist and interpretive models draw relationships between human action and the complex, formative system of relationships and interpretation of social histories. These traditions are concerned less with rational or empirical reality, than with the created understandings of environmental realities that drive people's actions.[143]

Most strident among Kohlberg's critics and a proponent of these constructivist traditions is Carol Gilligan. Gilligan's 1982 work, *In a Different Voice: Psychological Theory and Women's Development*, claimed that Kohlberg's theories were flawed by gender-bias in measurement and justification of the sources of morality.[144] She claimed

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[141] Rest, "Background: Theory and Research", p.3.

[142] Kurtines & Gewirtz, p. 279.

[143] Ibid., pp. 279-281.

[144] Langford, p. 181.

that cognitive-development theory overlooks the fact that "'a different voice' often guides the moral thoughts, feelings, and actions of women."[145] Thus, women develop along a path known as "The Care Orientation,"[146] a path distinct from Kohlberg's justice-oriented moral sequence.

Like Kohlberg's theories, Gilligan's theories were rapidly popularized, most notably earning wide praised within the feminist movement.[147] Additionally, like Kohlberg, Gilligan has also drawn fire. The most common rebuttal is that her claims are empirically baseless, since no mechanism for assessing care has ever been presented.[148] It has also been noted that she did not interview men and women on the same issues, and that the representativeness of the women's sample is unspecified.[149] Additionally, Gilligan's descriptions of moral maturity and mechanisms for moral development are unclear.[150] These criticism brought clarification that was warranted by the shortcomings of the

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[145] Kurtines & Gewirtz, p. 283.

[146] Rest, "Background: Theory and Research", p. 11.

[147] Ibid., p. 2.

[148] For references of works that counter Gilligan's claims, see Rest, p. 11-12; Langford, p. 181; Lawrence J. Walker, "Sexisim in Kohlberg's Moral Psychology?" and John Snarey, "In a Communitarian Voice: The Sociological Expansion of Kohlbergian Theory, Research, and Practice" in Kurtines & Gewirtz, pp. 83-133.

[149] Rest, "Background: Theory and Research", p. 11-12.

[150] Walker in Kurtines & Gewirtz, p. 87-88.

original methodology. Gilligan's reply was that the original intent of her work was to point out the logical inconsistency of using completely hypothetical dilemmas with single-sex samples to generalize behaviors for both sexes.[151] Langford supports her avoidance of the hypothetical dilemma, stating "her claims have more validity if we read them as applying to the management of discourse in real-life situations."[152] This is the essence of constructivist and interpretive meta-theoretical approaches to moral development: there are differences in the way biological, experiential, and contextual systems stimulate moral behavior. Maintaining a better understanding of the notion that biology, experience, and contextual determinants influence moral behavior and development could enlighten the many Academy faculty members charged with oversight of midshipman training.

3. Rest & Narvaez and Integrative Theory

Kurtines and Gewirtz describe integrative theory as "a tradition whose strength lies in a willingness to draw on what has proved to be useful and effective in diverse traditions, models, approaches, and perspectives."[153]

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[151] Carol Gilligan, Lyn M. Brown, & Mark B. Tappan, "Listening to Different Voices" in Kurtines & Gerwitz, pp. 312.

[152] Langford, p. 181.

[153] Kurtines & Gewirtz, p. 377.

Authors who have created original views of moral theory in this tradition often address the factors, variables, and processes that transform cognition and constructs into behaviors. The "Four Component" model, a creation of James Rest and Darcia Narvaez, focuses on "the internal *processes* necessary to produce a moral act."[154]

This model highlights the inseparability of cognition, interpretation, and moral behavior. Each component is equally important, since any may lead to moral success or moral failure. Component 1, Moral Sensitivity, involves the mental construction of possible cause and effect scenarios relating to the impact of specific actions on others. Component 2, Moral Judgement, is the process of cognitively weighting the attractiveness of each scenario choice from Component 1. Component 2 is a process closely akin to what Kohlberg's work described. Component 3, Moral Motivation, pertains to the personal importance an individual places on morality, as opposed to other motivations such as power and wealth. Component 4, Moral Character, is a measure of the personal strength, conviction, and persistence in employing the first three components to practical moral ends. Any of these components may be missing in the presence of behavior that is still moral, but all four must be available in the

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[154] Rest & Narvaez, "The Four Components of Acting Morally" in Kurtines & Gewirtz, p. 386.

most ethically demanding situations.[155]

B. MEASUREMENT OF MORAL DEVELOPMENT

The problematic issue of measuring moral development has fueled contention over the validity of the various moral theories. Part of the contention centers on the target of measurement. Moral assessments can be completed measuring "surface forms of language; . . . explicitly expressed meanings; . . . [or] underlying or unexpressed meanings."[156] Because of the distinct nature of the separate components of moral action, as described in the Four Component model, few, if any, tools can measure moral development holistically, and most, if not all, must, by necessity, target one specific area. Of the many tools that have been designed to measure morality, few have achieved recognition without dissent. Three of the most prominent tools available today, as well as a fourth with potential for use in service academy applications, will be discussed below. Other less popular tools created for use in particular studies will be mentioned in specific discussions of those studies as they apply to the research.

1. Moral Judgement Interview (MJI)

Lawrence Kohlberg developed the Moral Judgement Interview in the completion of his dissertation work in

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[155] Rest, "Background: Theory and Research", pp. 22-25.

[156] J. Loevinger, "Measuring Ego Development" (1970), in Langford, p. 129.

1958, clearly an example of an inquiry into what was referred to above as "unexpressed or underlying meanings." Each respondent in his study was individually interviewed. The respondents were presented with a moral dilemma (such as the Heinz problem)[157], and probing questions were then used to determine each interviewee's rationale for deciding on a certain course of action. The question "Why?" was repeated until the respondent could give no more details. Because this test measures the application of reason to action, it is known as a "production measure."[158] A trained rater then scored responses for stage characteristics against a scoring guide. The scoring guide was empirically constructed from large volumes of qualitative information that he had garnered during his lengthy research efforts.[159]

In the late 1960's, longitudinal studies revealed irregularities in the results of stage sequencing. Kohlberg and his colleagues were forced to reexamine existing data to locate the source of these anomalies. The result was that stages became more closely identified with "formal or abstract features of moral judgement."[160] An updated version

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[157] Rest, p. 11.

[158] Linda Klebe Trevino, "Moral Reasoning and Business Ethics: Implications for Research, Education, and Management" in Journal of Business Ethics, Vol. 11, No. 5-6, p. 448-449. Also, Walker in Kurtines & Gewirtz, p. 100.

[159] Langford, p. 74-75.

[160] Colby, Kohlberg, et al., p. 6.

was released in 1987, complete with an 800 page scoring guide.[161] The updated scoring process, known as the "Structural Issue Scoring System," comprised three separate interview formats, each containing three moral dilemmas, with each dilemma containing two central moral issues. For example, in the Heinz dilemma (from Figure 4.2), the two conflicting central moral issues are respect for life and respect for the law.[162] Kohlberg and his colleagues reported acceptable reliability in Issue Scoring where respondents were (a) retested, (b) presented alternate test forms during longitudinal studies, or (c) were interviewed by alternate raters with the same test format.[163] However, there have been several studies describing weakness in the validity of Kohlbergian interpretation and scoring, most notably concerning the limited predictive and explanatory capabilities of stage behavior.[164] Inasmuch as reliability of the test may approach empirical perfection, it's statistical reliability can conceivably bear little impact on the validity, predictive capabilities, or practicality of

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[161] Rest, p. 11.

[162] Colby, Kohlberg, et al., pp. 8-9.

[163] Ibid., pp. 19-27.

[164] Langford, p. 159. Chapter 7 of the Langford book, pp 115-159, mentions numerous studies that identify varying levels of weakness in Kohlberg's scoring interpretations. The specific theoretical details of these weakness are beyond the need or scope of this research.

the moral development theories being advanced. The many challenges to the predictive strengths of the model detract from its utility in service academy applications.

2. Defining Issues Test (DIT)

The Defining Issues Test was designed in 1979 by James Rest, a professor of educational psychology at the University of Minnesota.[165] The DIT was devised as a tool to support Kohlberg's theories by means other than the MJI. The test also presents moral dilemmas, but asks respondents to rate a selection of statements regarding the most important issues to consider in relation to the dilemma.[166] Whereas the MJI assessed stage progression through analysis of manifest moral reasoning, the DIT provides a quantitative analysis of moral recognition and prioritization.[167] In other words, the MJI is a production measure and the DIT is a recognition measure.[168] Because the DIT identifies what the respondent does or does not understand, it can highlight what issues are discounted through reason before an action is decided upon. The DIT has also shown good evidence of stage sequentiality and test-retest reliability.[169] The DIT

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[165] Rest, p. 11.

[166] Langford, p. 155.

[167] Walker in Kurtines & Gewirtz, p. 100.

[168] Ibid.; Also, Trevino, p. 448-449.

[169] Langford, p. 155.

is one of the most extensively used tests of moral development, in more than 1,000 studies and over 40 countries. The rate of usage is expanding by 150 studies per year.[170]

3. Measures of Sociomoral Reflection (SRM & SROM)

The sociomoral perspective pertains to the type of reasoning that occurs in Kohlberg's Level 2, through interpersonal relationships in Stage 3, and through societal relationships in Stage 4.[171] As mentioned previously, Level 4 is the level at which the majority of post-adolescents reason, as found in cross-cultural studies.[172] With this level as his target, John Gibbs of Ohio State University created the Sociomoral Reflection Measure in 1982. It has since become one of the three commonly accepted tools for assessment of moral reasoning and development.[173]

The SRM, a production measure, is similar to the MJI in that it also solicits qualitative responses to hypothetical moral dilemmas. The difference in methodology is that respondents give written answers on a standardized questionnaire. The SRM is also scored by trained raters and

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[170] Rest, p. 13.

[171] Langford, p. 93.

[172] John C. Gibbs, "The Cognitive Developmental Perspective" in Kurtines & Gewirtz, p. 35.

[173] Donnie J. Self & DeWitt C. Baldwin, Jr., "Moral Reasoning in Medicine" in Rest & Narvaez, p. 153.

can be easily administered in groups. The strength of the written test is that subjects are less likely to create responses that correlate to properties of stages that are higher than the stage in which they regularly reason.[174] Since they must provide all of the information to explain their actions, students cannot randomly choose from options above their own stage of moral reasoning.

Using test format and results from the original SRM, Gibbs designed the Sociomoral Reflection Objective Measure (SROM). The objective measure uses the same dilemma ideas, but presents five stage-specific responses from which to choose. These responses concern the subject's rationale behind selected moral decisions. Unlike the SRM, the SROM is a recognition measure. The multiple-choice test can be scored much more easily than the SRM or the MJI. Gibbs has reported acceptable statistical correlation and reliability for both tests.[175]

4. Moral Judgement Test (MJT)

Using a tactic described by integrative theories, the Moral Judgement Test attempts to draw and link the most useful assessment traits from the MJI and the DIT. The test, designed by Dr. Georg Lind of the University of Konstanz in Germany, focuses neither on moral reason nor

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[174] Trevino, p. 448.

[175] Ibid.

moral recognition, but on "moral judgement competence."[176] This concept was first classified by Kohlberg in 1964 as the "capacity to make decisions and judgements which are moral and to act in accordance with such judgements."[177] In other words, moral judgement competence entails the practical application of intellect and reason to moral actions.

There are useful similarities, and equally useful differences, between the MJT and other moral measurement tools. Like the MJI, the MJT presents respondents with hypothetical, but realistic, moral dilemmas. Like the DIT, the test presents statements for rating that can be quantitatively scored. However, the MJT asks respondents to rank statements based on their moral quality and their relationship to the character of the protagonist in the dilemma. In this way, the separate, yet interdependent, characteristics of reason and behavior can be simultaneously evaluated by the same test. Unlike the DIT, answers cannot be faked, because of the necessity for moral competence

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[176] Georg Lind, The Meaning and Measurement of Moral Competence Revisited: A Dual Aspect Model, paper presented at the "Moral Development and Education" conference of the American Educational Research Association annual meeting in San Francisco, April 18, 1995; On-line at: "www.uni-konstanz.de/Psych/ag-moral/mjt-95.htm". Dr. Lind's work on the concept of moral judgement competence reaches back to 1985 in Lind, Hartmann, & Wakenhut, Moral Development and the Social Environment (Chicago: Precedent Publishing, 1985). Pp. 79-105.

[177] Kohlberg in Lind, The Meaning and Measurement of Moral Competence Revisited: A Dual Aspect Model, p. 5.

before moral action. If a respondent does not understand a moral concept, this can be recognized through the test's scoring processes. Unlike the MJI, the MJT shows empirical support for the existence of moral regression. This is done without the use of complicated scoring manuals and highly trained raters. Lind claims that the importance of this test is accented by its capacity to simultaneously assess cognition and affect.[178] In 15,000 tests, the methodology has proven reliable and theoretically valid, as well as statistically and practically significant.

C. MORAL TRAINING AND DEVELOPMENTAL CHANGE

1. Impact of Just Communities

In 1989,[179] Kohlberg's colleagues (he contributed to the work before his suicide) spoke on the shortcomings of common moral education programs. For one, conventional moral education programs tend to train by hypothetical dilemma rather than real-life dilemma.[180] Also, Kohlberg believed that moral education that seeks to initiate a student into the details of the conventional morality (Level 2) without attending to the student's systemic influences does nothing

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[178] Ibid., p. 10.

[179] F. Clark Power, Ann Higgins, and Lawrence Kohlberg, Lawrence Kohlberg's Approach to Moral Education (New York: Columbia University Press, 1989).

[180] Ibid., p. 35.

to encourage principled moral reasoning.[181] Thus, he developed the idea of "Just Communities," schools wholly fashioned as justice-oriented environments.

Just Community schools are distinct from traditional schools in several ways: they are governed democratically, with major decisions agreed upon in voting by students and teachers; students, parents, and teachers sit on various committees to discuss moral concerns in weekly forums; social contracts regarding mutual rights and responsibilities are drawn between students and teachers; freedoms of speech, freedoms from physical or verbal harm, and rights of human dignity are identical for all community members. It is proposed that this total environment of justice, coupled with traditional moral education, will accelerate moral growth.[182]

The first Just Community school was started by Kohlberg at The Cluster School in Cambridge, Massachusetts, in 1974. The school's student complement was divided almost equally along lines of gender, race, and family financial standing.[183] Researchers reported that students experienced gains of 33% to 50% in MJI scores within specific stages, versus the 5% gains seen in their traditional school

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[181] Ibid., p. 55.

[182] Ibid., p. 64.

[183] Ibid., p. 3.

counterparts.[184] What was more dramatic was the change in non-MJI indicators. Students in the Cluster schools were statistically less likely to cheat, having designed and enforced their own version of an honor code. Of the students originally sent to the Cluster school as drop-out risks, 90% later continued on to post-secondary education. Also, drug usage virtually ceased.[185]

By 1989, Kohlberg and his colleagues had consulted on the successful adaptation of at least six schools to the Just Community approach.[186] The results of his work have led researchers to study its potential application to the moral climate in other arenas, such as correctional institutions, business education programs, and the corporate workplace.[187]

2. Impact of Religious Education

In 1996, two Xavier University researchers set out to determine quantitatively the impact of religious education on moral behavior in high school students.[188] Eighteen years

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[184] Lawrence Kohlberg, Peter Scharf, & Joseph Hickey, "The Justice Structure of the Prison: A Theory and Intervention" in Puka, pp. 223-224.

[185] Ibid., p. 301.

[186] Ibid., pp. 302-302.

[187] Kohlberg, Scharf, & Hickey, in Puka, pp. 223-234. Also, Trevino, p. 458.

[188] Elizabeth Leistler Bruggeman & Kathleen J. Hart, "Cheating, Lying, and Moral Reasoning by Religious and Secular High School Students," in Journal of Educational Research, Volume 89, Number 6, July-August 1996, p. 340-344.

earlier, Leming[189] had shown a negative correlation between level of moral recognition in college students, as measured by the DIT, and their propensity to cheat. The exception to this was the finding that even college students with higher levels of principled moral reasoning are likely to cheat in situations where there is low supervision or little threat of punishment when caught. Bruggeman and Hart attempted to verify the assumption "that religious schooling is connected in some way with the development of higher moral values and thus promotes a greater tendency to behave morally."

The DIT was administered to 220 Catholic school students of mixed gender and socioeconomic background. They were then asked to participate in a memory test requiring them to familiarize themselves with, then recall, the location of up to 10 circles on a piece of paper. As an incentive to cheat, they were told that their performance would affect their final semester grade. The test group was told to cover their eyes after seeing the paper, while the control group was blindfolded. Scores above a certain level were determined to be achievable only through cheating. After the test, they were surveyed (without using names) to ask whether they had cheated. In this way, those who said they had cheated but did not score above the cheating

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[189] J.S. Leming, "Intrapersonal Variations in Stage of Moral Reasoning Among Adolescents as a Function of Situational Context" in Bruggeman & Hart, p. 340.

threshold were added to the count of cheaters; those who scored above the unattainable cheating threshold but denied cheating, were considered to have lied, in addition to their cheating. The researcher found that religious school students did not score higher on the DIT than their public school counterparts, nor lower in levels of cheating and lying. Also, the rate of cheating was very high, over 70%, for all groups. Finally, the results showed no negative correlation between level of moral reasoning and propensity to cheat in low-threat testing atmospheres.[190] The results from religious schools show the effects of efforts in the instruction of morals that loosely parallel efforts at U.S. service academies, with age groups that are similar to academy sample populations.

3. Impact of Biological Maturation

Like Kohlberg, Lind has completed work pertaining to optimization of moral education. He proposed that the development of moral judgement competence is proportionally related to level of education and not purely to age, as in Kohlberg's stages of moral reasoning. Using the MJT, he showed high correlation between an individual's level of moral judgement competence and level of moral reasoning or attitude. However, in contrast to the Kohlberg studies, he showed that "moral judgement competence erodes if

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[190] Bruggeman & Hart, pp. 342-343.

educational processes stop before the adolescents have reached a sufficiently high, self-sustaining level of competence."[191] Because of this, he believed that biological maturation is a poor criterion for judging one's expected level of moral development.

Like Kohlberg, Lind also confronted the pedagogical issues of moral development. He proposed that with the right educational structure, a student could achieve "self-sustaining" moral development.[192] Self-sustaining moral development occurs after reaching "moral autonomy",[193] the point where individuals no longer avoid morally difficult situations but actually begin to develop from them, free of external stimuli. Lind showed that moral autonomy and self-sustaining development could be reached by combining two key educational elements, role-taking and guided reflection. Role-taking involves the assumption of functional responsibility within the moral system, such as community service and roles under the Just Community theory. Guided reflection involves academic instruction combined with

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[191] Lind, The Meaning and Measurement of Moral Competence Revisited: A Dual Aspect Model, p. 10.

[192] Georg Lind, Educational Environments Which Promote Self-Sustaining Moral Development paper presented at the American Educational Research Association, April 8, 1996, p. 2. Online at: (www.uni-konstanz.de/ag-moral/selfsust.htm).

[193] Jean Piaget, The Moral Judgement of the Child (New York: The Free Press, 1965) in Lind, Educational Environments Which Promote Self-Sustaining Moral Development.

qualified guidance and introspection. The highest changes in MJT scores were achieved when the two methods were used in combination with each other.[194]

Lind has supplemented his work with an analysis of ideal ages for instruction using discussions of moral dilemmas.[195] In MJT and MJI studies, adolescence (age 11-16) was shown to be the period when the largest gains in moral judgement competence or cognitive moral reasoning were made. However, DIT studies showed the greatest increases after the age of 23. There are two possible explanations for this disparity. First, since the DIT is a recognition measure, it is quite likely that a subject could make gains in *recognizing* theoretical concepts without changing the way they are practically *applied*. Second, the DIT is more prone to the Hawthorne effect, the state or tendency of subjects to change responses based on perceived intent of the researcher; Lind has shown DIT results can be faked upwards. Regardless of the disparity, the results highlight periods when potential gains in different aspects (i.e., attitude, competence, reasoning, etc.) of a person's moral system can

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[194] Lind, Educational Environments Which Promote Self-Sustaining Moral Development, p. 8.

[195] Georg Lind, The Optimal Age for Moral Education, based on a paper presented at the "Moral Development and Education" conference of the American Educational Research Association, April 8, 1996. On-line at: (www.uni-konstanz.de/ag-moral/optimal.htm).

be made.[196] Thus, an educator can use different methods to target specific aspects of moral development.

4. Impact of Post-Secondary Education

In 1986,[197] James Rest conducted a meta-analysis of 56 moral education programs, from junior high school programs to post-doctoral programs. Using the DIT, he showed that statistically significant gains in moral recognition can be made as a result of moral intervention through academic classroom instruction. Furthermore, progressively greater effects are realized as the sample group becomes older and more educated, with greatest results realized at the post-graduate level.

In an expansion of the Rest study, Steven P. McNeel[198] of Bethel University, conducted a meta-analysis of different types of undergraduate college programs and their ability to cultivate principled reasoning. The study consisted of 22 longitudinal samples from seven liberal arts colleges, three universities (including West Point), and two bible colleges. The results showed positive effects in all but one study, the greatest of which are found collectively in liberal arts programs. Bible colleges actually recorded the poorest

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[196] Ibid., p. 11.

[197] James Rest, Moral Development: Advances in Research and Theory (New York: Praeger Press, 1986) in Rest, "Theory and Research," in Rest & Narvaez, pp. 20-25.

[198] Stephen McNeel, "College Teaching and Student Moral Development" in Rest & Narvaez, pp. 27-49.

results.[199] In a more focused analysis, major categories of psychology, nursing, English, and social work showed the greatest statistically significant effect, while education and business had little to no positive influence on DIT scores.[200] Also, a program at Bethel college showed that students exposed to instructors who have been specially trained in moral development theory achieved greater DIT gains over four years than students who had no instruction from specially trained educators. In comparison to the former student group, the moral recognition scores of the latter student group tend to stagnate over time.[201] Finally, McNeel noted a troubling paucity of longitudinal four-year studies at the nation's universities, and urged administrators to consider the potential benefits of developing such research programs[202].

A 1993[203] study at the University of Copenhagen medical school found results similar to the McNeel meta-analyses. Using a Danish version of the DIT, the researchers ventured to quantify how a compulsory "Philosophy of Medicine" course

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[199] Ibid., pp. 32-33.

[200] Ibid., p. 34.

[201] Ibid., pp. 43-45.

[202] Ibid., p. 47.

[203] Soren Holm, G. Nielsen, M. Norup, A. Vegner, F. Guldmann, & P.H. Andreasen, "Changes in Moral Reasoning and the Teaching of Medical Ethics" in Medical Education, Volume 29, 1995.

affected the moral recognition skills of second-year medical students. At the time of the study, the three-month long course was eight years old. The course covered medical philosophy, medical ethics, and clinical decision making. The study was conducted as a pre- and post-test study, sampling 121 students before the course and 74 students after the course. The results showed gains in justice-based recognition that far exceeded that which would have been expected from biologically aging for three months. The researchers concluded that "the course in philosophy of medicine improves the moral reasoning skills of students."[204] As the authors noted, this was in accord with many other studies pertaining to the influence of moral-specific academic interventions in post-secondary education.

5. Impact of Prosocial Behavior

Countless theorists have broached the epistemological difficulties of separating conceptual awareness and praxis in moral development. In *Nicomachean Ethics*, Aristotle described the separation as such:

> Virtue, then, being of two kinds, intellectual and moral, intellectual virtue in the main owes both its birth and its growth to teaching, while moral virtue comes about as a result of habit, whence also its name *ethike* is

[204] Ibid., p. 422.

one that is formed by a slight variation of the word *ethos* (habit).[205]

Kohlberg echoed these sentiments in affirming that the gap between learning and applying could be bridged by presenting the student with role-taking opportunities.[206] Conversely, Rest showed that college students can memorize classroom material for examination purposes without truly understanding or applying the lessons in morally challenging, real-world situations.[207] Between 1971 and 1993, the effects of this "bridge" on moral development were studied in at least 11 major analyses.[208]

In 1994,[209] Gorman, Duffy, and Heffernan tested three hypotheses: one, that a group with practical prosocial

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[205] Aristotle, "Nicomachean Ethics: Book II" in Saxe Commins & Robert N. Linscott [Eds], The World's Great Thinkers (New York: Random House, 1947), Volume 2, pp. 24-25.

[206] Lawrence Kohlberg, "Stage and Sequence" in Lawrence Kohlberg [Ed], "Essays on Moral Development" Volume II, The Psychology of Moral Development (San Francisco: Harper & Row, Publishers, 1984), pp. 7-169.

[207] Rest in Judith A. Boss, "The Effect of Community Service Work on the Moral Development of College Ethics Students" in Journal or Moral Education, volume 23, Number 2, 1994, p. 185.

[208] Norman A. Sprinthall, "Counseling and Social Role Taking" in Rest & Narvaez, pp. 88-90.

[209] Margaret Gorman, Joseph Duffy, & Margaret Heffernan, "Service Experience and the Moral Development of College Students" in Religious Education, Volume 89, Number 3, Summer 1994.

experience would score higher on a DIT pre-test than students without community service or charity work of any type; two, that principled reasoning would increase on a DIT post-test for students who participated in moral instruction *and* prosocial experience; and three, based on Gilligan's Care perspective, women would make greater gains in principled reasoning than men. The researchers studied 121 students in compulsory ethics courses at Boston College, 59 of whom participated in field work to earn a percentage of the course's credit. As hypothesized, the latter group of students showed a significantly higher rate of moral growth. Also, mean post-test scores were higher for women in both groups. However, methodological concerns voiced by the researchers detract from the significance of this finding, mainly, the fact that the pre-test DIT was only given after half of the semester was over. Nonetheless, the results support the researchers' cognitive dissonance hypotheses "that students can study the principles of social justice in the abstract and remain unmoved."[210]

Judith Boss of the University of Rhode Island designed a similar study to test the effect of community service work on undergraduate ethics students.[211] Boss tested 71 students using a similar pre-test, post-test, control group design.

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[210] Ibid., p. 423.

[211] Boss, pp. 183-198.

This time, pre-tests of the DIT were given at the beginning of the semester. Half of the students were required to complete 20 hours of community service work and keep a journal, while the other half was merely administered a comprehensive exam at the end of the semester. In addition, the prosocial students used anecdotes from their journals as subjects for in-class moral dilemma discussions. On the pre-tests, 14% of all students scored in the principled reasoning category. By the end of the semester, more than 50% of the experimental class scored in this category, with the control group stagnant at 13%. These findings support hypotheses that the greatest developmental gains are achieved through cognitive and social disequilibrium. This disequilibrium is recognized through "holistic, emotional and interactive experience wherein participants expose themselves to others' complaints and even to the possibility that they themselves may be found morally wanting or even wrong."[212]

Lind made contributions in this type of work as well, also with medical students.[213] The difference in his studies is that he studied the effects of cognitive disequilibrium

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[212] Haan in Boss, p. 186.

[213] Georg Lind, Are Helpers Always Moral? Empirical Findings From a Longitudinal Study of Medical Students in Germany based on a paper presented at the "Moral Development and Prosocial Behavior" symposium of the International Council of Psychology, July 21-23, 1997. On-line at: (www.uni-konstanz.de/ag-moral/helpers.htm).

without the benefit of applied social disequilibrium. This is noteworthy because intuitively, the medical field is generally regarded as one of inherent prosocial intent and behavior. Lind longitudinally analyzed MJT scores for 104 medical students, as well as scores for 604 students from other fields of study. The studies were conducted four times over the course of six years. The results showed, with statistical significance, that the medical students actually tended to demonstrate regression in aggregate moral judgement competence. Unlike their counterparts in other disciplines, medical students did not improve their ability to apply moral concepts that they identified as important. These findings support anecdotal reports from the sample groups that medical students feel greater academic pressure, less opportunity to cooperate with peers in ethics training, less opportunity to critically evaluate medical ethics, and greater overall obfuscation of the basic ethical principles of their intended professions. In a field that is founded on prosocial ideals, "it seems that medical education offers too little, if any role-taking and opportunities for guided reflection in the domain of socio-moral competencies."[214]

D. SERVICE ACADEMY LITERATURE

As is the case previously noted at other colleges, there is a dearth of published literature reviewing the

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[214] Ibid., p. 5.

systemic effects of post-secondary moral education on the cognitive growth of students at service academies. There are several plausible reasons for this shortage. For one, military academies have traditionally focused on technical and military matters, the U.S. institutions having developed core ethics training programs only in the last ten years. Additionally, the academies have, until recently, only staffed a limited number of experts in the fields of philosophy, psychology and sociology. Therefore, those few faculty members that can conduct quality analyses of moral development are often hindered by teaching demands that exceed those of their counterparts at civilian, research-oriented universities. Finally, the highly visible nature of administering education programs in a publicly funded institution may limit the willingness of individuals or institutions to publish and release this type of delicate information. Nonetheless, a number of studies that are loosely related to this research are discussed below.

1. United States Naval Academy

Each year, the Naval Academy's Institutional Research Center (IRC) conducts a "Quality of Life" survey of the Brigade of Midshipmen. The results are published as a "Quicklook" memorandum to the Superintendent, summarizing percentage answers to 173 questions pertaining to company officers, midshipman staff officers (a.k.a. "stripers"), the

honor concept, and the conduct system. The Quicklook also compares the responses to the previous year's results, in order to illustrate changes in attitudes or behavioral tendencies. In the category of honor, majorities responded that they understand, support, and believe in the honor concept. However, majorities also agreed that they have witnessed different violations of the honor concept without taking administrative action. The two largest negative impacts on the honor system that midshipmen report are classmate loyalty (peer pressure) and workload (time pressure). This is tempered by the Brigade's 86% favorable treatment of a belief statement that midshipmen behave more honorably than their civilian university counterparts. In regards to the conduct system, a majority of the respondents believe that the honor system has too many trivialities or "loopholes", but a majority also responded that the system is an essential and beneficial contribution to the academy's military environment. Other noteworthy results are published with the 1997 Quicklook in Appendix C of this research.

In 1993, Dr. Paul Roush, of the Leadership, Ethics, and Law department began what was intended to be a longitudinal study of midshipman values. The survey (See Appendix D) was not continued past its third iteration following the Class of 1997's plebe year. However, the three iterations that were completed do shed some light on value tendencies, as

well as the need to continue these types of studies. The survey looks at general respect for core Navy values, program values, individual values, and integrity. Specific categories under the integrity section are cheating, ethics, honesty, not lying, not stealing, and non-toleration for honor violators. All categories showed the highest aggregate admiration for strict enforcement of the honor system at the conclusion of plebe summer and the lowest totals after plebe year. This is indicative of some increasing level of disillusionment with the systemic processes involving honor. These results would certainly become more informative in terms of behavioral and attitudinal tendencies if this or any other similar study were continued longitudinally.

Comprehensive longitudinal studies have been successfully completed at the Naval Academy, but not necessarily to the same extent as at civilian universities. One such example was completed by Professors Eloise Malone and Charles Cochran in 1997.[215] The studied detailed results from the Class of 1996's participation in the Cooperative Institutional Research Program (CIRP), a survey of cognitive and noncognitive educational outcomes sponsored by the

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[215] Charles L. Cochran & Eloise Malone, The Impact of the Naval Academy on Midshipmen Personal, Academic and Professional Development, paper presented at the International Conference of the Inter-University Seminar, October 25, 1997.

American Council on Education and comprising 500,000 student participants annually.[216] Only small fragments of the study are directly relevant to this research, but the work does highlight the feasibility of conducting longitudinal studies of development at the academy. Moreover, the information it provides would complement any longitudinal survey of morals. For example, 92% of midshipmen report positive attitudes toward prosocial role-taking activities, but there was an incongruent 5% drop in community service participation over four years and a 2% drop in willingness to help others.[217] There were also significant drops in tolerance for social welfare programs and religious participation, with an increase in conservative political leanings and the importance of self-fulfillment ideals.[218]

A conceptual overview of the Naval Academy's recent moral development efforts was presented by a civilian ethics instructor, Dr. Aine Donovan, in 1997.[219] Here she notes that the goals of the program at Annapolis are threefold: one, the clarification of moral issues; two, the development of moral reasoning; and three, creation of an impetus for

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[216] Ibid., pp. 1-2.

[217] Ibid., pp. 24 & 52.

[218] Ibid., pp. 40-50.

[219] Aine Donovan, Celestial Navigation, with a Moral Compass: Setting an Ethical Course at the United States Naval Academy, paper presented at the Annual Conference of the Association of Moral Education, November 21, 1997.

moral motivation. This description bears theoretical similarities to the Four Component Model described in Figure 4.3. In achievement of the first end, traditional military underpinnings of the Kantian duty ethic are balanced by the contextual limits of interpersonal relationships and the cognitive development of principled reasoning.[220] The second goal is achieved through development of moral imagination, recognition, analytical ability, obligation, and a tolerance for opposing viewpoints.[221] The final goal, a reflection of the Aristotlean separation of knowing good and doing good, is arrived at through practical discussions and case studies. In the end, creation of a professional military ethic is to achieved through the "connecting thread" between duty and reflection.[222]

2. Literature From Other Academies

In an attempt to quantify the historical prevalence of unreported honor violations, a survey of compliance levels was distributed to 1,110 graduates from the three military academies from the Classes of 1959 to 1997.[223] The researchers received 636 responses, divided roughly equally

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[220] Ibid., pp. 4-6.

[221] Ibid., pp. 7-8.

[222] Ibid., p. 15.

[223] Frederick V. Malmstrom & Solomon A. Fulero, Do Service Academy Honor Codes Work?, paper presented at the Sixteenth Symposium of Applied Behavioral Sciences at the United States Air Force Academy, April 22-23, 1998.

by academy. Results showed that non-academic violations outweighed academic violations by nearly three to one. The highest level of academic violators was found at USNA (23.6%) while the highest level of non-academic violators was found at USAFA (47.4%). In contrast, studies show that as many as 90% of civilian collegians are estimated to have cheated at least once.[224] Furthermore, where up to 20%[225] of students at non-honor code colleges admit to cheating more than three times, only 3% of academy respondents self-reported chronic cheating. Also, twice as many USNA graduates (42%) reported having tolerated others' violations as USMA (18.8%) and USAFA (23.2%), although Navy is the only academy without a non-toleration clause in its honor code (see Chapter V). In sum, even without toleration statistics included, USNA graduates were twice as likely to admit to having committed honor violations. Nonetheless, the researchers conclude that all three academy codes are viable alternatives to the integrity systems of civilian institutions, especially in light of growing rates of high school cheating.[226]

In 1994, Stevens, Rosa, & Gardner attempted to quantify value change within the Corps of Cadets at the

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[224] Loyd & May in Malmstrom & Solomon, p. 3.

[225] Donald McCabe in Malmstrom & Solomon, p. 3.

[226] Ibid., pp. 3-7.

United States Coast Guard Academy (CGA) through a venture similar to the Cochran & Malone project at USNA.[227] This research instrument consisted of a 60 question, multiple-choice, survey of Personal Values and Interpersonal Values. The results supported the idea that "values of cadets change, generally in a direction consistent with the explicit socialization objective of the CGA, as cadets increasingly identify with the reference group."[228] Like the USNA study, a cadet's willingness to help others and need for conformity declines longitudinally, and there is concomitant stagnation in a cadet's belief in the importance of making one's own decisions. There is also a disparity in comparison to civilian students that indicates cadets "'may act to select and even create environments that are favorable to the maintenance of those values and attitudes which they find most congenial.'"[229] Additionally, evidence supports the notion that the catalyst for value change is a combination of professional development, environmental socialization, and maturation.

Professor Joseph Soeters, of the Royal Netherlands Military Academy, expanded this study to an international

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[227] Gwendolyn Stevens, Fred M. Rosa, & Sheldon Gardner, "Military Academies as Instruments of Value Change" in Armed Forces & Society, Volume 23, Number 3. Spring 1994.

[228] Ibid., p. 481.

[229] Hollander in Stevens, Rosa, & Gardner, p. 479.

survey of value orientations in 1997.[230] To create a common baseline for a civilian control group that transcends the nuances of national culture, he used a study of values among international employees of IBM. Information was drawn from Canada, United States, and 11 European countries. The evidence supported that the value orientations of military members are proportionately similar to civilian orientations in their respective countries, and not to some common international structure of military value.[231] This proportionality occurs in spite of the common nature of military service and the increasing frequency of joint international operations. In the end, there was a wide range of military value orientations across the spectrum of reporting nations. The United States fell out in the middle in individualism, social equality in relation to authority, and dependence on rule following. Also, the U.S. was near the top in the perceived importance of the military as a masculine institution.[232] This study has relevance to research on moral development because it sheds light on how the development of moral competency is affected by the transition from civilian to military life, regardless of

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[230] Joseph L. Soeters, "Value Orientations in Military Academies: A Thirteen Country Study" in Armed Forces & Society, Volume 24, Number 1, Fall 1997.

[231] Ibid., p. 20.

[232] Ibid., pp. 15-18.

national culture. A similar study of international civilian and military moral structures related to this thesis would be illuminating.

E. SUMMARY

The review of literature related to this research reveals many factors that are relevant to any discussion of moral growth at service academies. These factors apply to the theories of moral development, the measurement of moral development, the relation of training and education to moral development, and the course of moral development in military education. Their relation to the entire piece of research will be discussed in greater detail in Chapter VIII. They are briefly summarized below.

1. Moral Development Theory

The theoretical factor most important to the ends of this research is the assumption that the greater balance of growth in individual moral cognition has been achieved by the time a midshipman first arrives at the Naval Academy. Many other aspects of the theories discussed are pertinent to the experiences of midshipmen in adapting to professional military ethics and cultivating powers of moral reasoning. The behavioralist school reflects the portion of morality based on the socialization and conformity of midshipmen to rule-based ethical structures at the Academy. Cognitive development theory is also relevant, depicting a justice-based conceptual construction of morality. Gilligan's work

has validity in addressing the different gender-based creations of shared meaning that define midshipmen experiences. Finally, the Four Component Model is a helpful tool in identifying the main ingredients for ethical behavior.

2. Measurement of Moral Development

All service academies could benefit from focused assessment of moral development within their cadet corps. This assessment may entail either process evaluation or outcome evaluation. From an outcome evaluation standpoint, research shows that both recognition and production based measures are effective in assessing the separate but critical components of moral development. It is also important to measure and evidence the processes of stage progression, stage regression, false stage attainment on test results, as well as the cultivation of moral judgement competence. These assessments may be limited in Academy settings by the qualifications of scorers, the complexity of the grading mechanism, and the sheer expense of test administration. To be most accurate, the testing mechanism must present dilemmas that are easy to understand and are relevant to the subject's daily experiences. All of this information must be carefully weighed in selecting and administering moral measurements.

3. Moral Training and Education

Most studies agree that the development of morality can

be realized through the heightening of moral awareness evolving from classroom instruction. However, this instruction must be accompanied by opportunities for role-taking, dilemma-solving, and prosocial activities. An education program that empowers all students to actively participate in ethics-related decision making (such as in Just Communities) can also yield extraordinary results. Further research that more significantly and practically addresses the influence of academic curriculum on the development of professional military ethics, as in the Rest and McNeel meta-analyses, would contribute to both the body of knowledge and the effectiveness of moral training.

4. Academy Literature

The pith of this section's material is that academy systems, although not without critical commentary on perceived problems, are more effective in controlling seemingly immoral behavior, such as cheating, than systems in place at most civilian colleges and universities. Proving how they perform in affecting the development of moral reasoning becomes a more tenuous endeavor. The limited amount of research available does show that there are preliminary indications of positive change in moral attitudes and reasoning that can possibly be uncovered. These studies should be extended longitudinally and across cultural or national boundaries. Research at universities

also shows that specially trained instructors can contribute progressively to the desired end results. These studies notwithstanding, the paucity of academy-specific research on moral development becomes problematic in attempting to address qualitatively the effectiveness of moral training in Annapolis.

V. COMPARATIVE STUDY OF MORAL EDUCATION

A. OVERVIEW

The intent of this section is to illustrate how other institutions have prioritized and structured systems of moral ethical, and character development. The USNA initiatives will be described in detail, while programs at other academies will be summarily explained where differences in structure, procedure, or outcome exist.

B. UNITED STATES NAVAL ACADEMY[233]

The Naval Academy's "Ethics Across the Curriculum" (EATC) or Ethics Continuum was created as the foundation for Admiral Larson's drive to highlight and integrate the ethical components and implications in al academic courses. The continuum features two major components: the Character Development Division, and the academic ethics courses, most notably, the core ethics course. The Character Development Division, established in 1994 by the Secretary of the Navy, comprises Integrity Development, Human Relations Education,

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[233] Sources for Naval Academy information used in this section: On-line at "www.nadn.navy.mil/CharacterDevelopment/"; Documents on file at USNA Character Development office; Interviews with Dr. David Johnson and Dr. Shannon French, both USNA Leadership/Ethics/Law Department; Interview with Captain Glenn Gottschalk, USN, (ret.), USNA Institutional Research Center.

and Honor Education. The core ethics course is coordinated by instructors from the Department of Leadership, Ethics, and Law. As mentioned in Chapters I and III, the entire system of honor instruction and moral development was revamped during the early 1990's.

1. Military

a. Honor Concept

The Honor Concept was first developed by Midshipman William P. Lawrence, Class of 1951.[234] The system has been traditionally administered by the Brigade of Midshipmen, with a commissioned officer serving as advisor to the Honor Committee. Even after the Electrical Engineering (EE) cheating scandal, the Honor Review Committee remarked, "The Brigade itself must believe in, must operate, and within necessary legal constraints, must <u>own</u> the Honor Concept. The Honor Concept must be their property and their means of developing character . . . if it is to succeed."[235]

The Honor Concept was revised subsequent to the investigations surrounding the Electrical Engineering

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[234] USNA Board of Visitors, "Report of the Honor Review committee to the Secretary of the Navy on honor at the United States Naval Academy," December 22, 1993, p. 4. William P. Lawrence, later a POW and Vice Admiral, served as Superintendent of USNA in the late 1980s.

[235] Ibid., p. 5.

cheating scandal in 1994. The old concept simply stated, "A midshipman does not lie, cheat, or steal." The new concept was reworked to emphasize positive, honorable behavior rather than proffer a concise delineation of categories for dishonorable behaviors:

> Midshipmen are persons of integrity; they stand for that which is right. They tell the truth and ensure that the full truth is known. They do not lie. They embrace fairness in all actions. They ensure that work submitted as their own is their own, and that assistance received from any source is authorized and properly documented. They do not cheat. They respect the property of others and ensure that others are able to benefit from the use of their own property. They do not steal.

b. Honor Treatise

In 1994, a midshipman working group penned the Honor Treatise, designed to accentuate what a midshipman's dedication to life under the Concept should entail. The Honor Treatise was intended "to set out in clear and concise language, the philosophic underpinnings of naval leadership

and leadership development at the Naval Academy."[236] In its final 236 word form, it is an affirmation of guiding principles that serve to remind each and every member of the Brigade of Midshipmen of the moral duties of officers in the Naval Service. It states, in part, "As a Brigade, we cherish the diverse backgrounds and talents of every midshipman. . . . It is our responsibility to develop a selfless sense of duty. . . . We espouse leadership by example. . . . Those with the strongest moral foundation will be the leaders who best reflect the legacy of the Naval Academy."

c. Honor Education

The Honor Education Program falls under the cognizance of the Honor Education Officer, presently billeted for a Navy Lieutenant Commander, in the Character Development Division. Commencing during Plebe Summer, the midshipmen participate in 36 honor lessons over the course of the next four years (See Figure 5.1). The 14 Plebe Summer lessons serve to indoctrinate the new midshipman into the system, touching on issues such as integrity, moral courage, character, human dignity, and the administrative intricacies of the system itself. At the end of Plebe Summer, the fourth class midshipmen foreswear their

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[236] Ibid., p. 7.

allegiance to the Honor Concept during the Parent's Weekend "Honor Affirmation Ceremony." This ceremony marks a transition from "learning" the system to "living" the system.

d. Honor Offenses

When a midshipman, officer, or faculty member believes that an honor offense has occurred, he or she has three options: formal counseling, formal counseling with a report to the appropriate Honor Representative, or report to the Honor Representative without counseling. After a formal report is made to the Honor Chairman, it will either be terminated, if the incident is deemed not a violation of the concept, or it will be referred to a class Honor Board. Formal counseling records are forwarded to the Character Development office, although no further action is taken on the case after the counseling session. Counseling may also occur at a Battalion Counseling Board. If the case is adjudicated before the Honor Board, a guilty ruling requires a vote by six of the nine members. With a ruling that the offense was a violation of the Honor Concept, the case is forwarded to the Commandant of Midshipmen. The Commandant of Midshipmen then has three options: termination of the case, recommendation for honor probation, or recommendation for separation. Cases recommended for separation are

forward to the Secretary of the Navy via the Superintendent.

e. Honor Remediation

Midshipmen placed on honor probation will normally serve a punitive sentence and participate in the Honor Remediation program. This program was created pursuant to the 1993 "Report of the Honor Review Committee" as a sanction option besides separation. The Honor Remediation Program includes the following elements:

- Assignment of a senior faculty or staff member as mentor to the midshipman
- Creation of a Plan of Actions and Milestone (POA&M) for personal, academic, athletic, and professional goals
- Weekly review of the Midshipman's POA&M Journal by the mentor
- Participation in a community service project
- Completion of a ten-page essay in which the midshipman recounts developmental experiences in the program
- Final evaluation of the midshipman's success in the program

Following completion of the program, the mentor will make final recommendations to the Commandant regarding removal from probation, extension of the probation, or separation from the Academy.

f. Frequency of Honor Offenses

As will be discussed in the next chapter (See Figure 6.3), the average number of honor offenses reported between 1983 and 1996 was roughly 98. Of these, more than

50% were terminated by the Honor Chair after determination that the accusation was unfounded, or by the Honor Board after determination that no violation had occurred. A mean total of 28.5 violations resulted in separation or resignation. A further 14.7 were placed on probation. A breakdown of the 1996-97 statistics is provided in Figure 5.2.

g. Integrity Development Program

The Character Development Officer is responsible for oversight of three main programs: the honor education program mentioned previously, the Integrity Development program, and the Human Relations Education Center. The Character Development Officer, a Navy captain or Marine colonel, reports directly to the Superintendent. He or she is supported by the Human Relations Education Officer and the Integrity Development Officer, both billets typically filled by either a Navy commander or a Marine lieutenant-colonel.

Midshipman 1/C Lessons

Honor 1-1 : Introduction and Review
Honor 1-2 : Training Honor at USNA
Honor 1-3 : Training and Living Honor in the Fleet
Honor 1-4 : Feedback and Lessons Learned

Midshipman 2/C Lessons

Honor 2-1 : Introduction and Review
Honor 2-2 : Ethical Decision Making
Honor 2-3 : Ethical Decision Making
Honor 2-4 : Fitness Reports / Concerns from the Year

Midshipman 3/C Lessons

Honor 3-1 : Introduction and Review
Honor 3-2 : Spirit of the Honor Concept
Honor 3-3 : Honor Codes at the Other Service Academies
Honor 3-4 : Truth vs. Loyalty
Honor 3-5 : The Brigade Honor Treatise
Honor 3-6 : Concerns from the Year

Midshipman 4/C Lessons

Honor 4-1 : History of the Honor Concept
Honor 4-2 : The Honor Process: Counseling Process
Honor 4-3 : The Honor Process: Investigation Process
Honor 4-4 : Lying: The Basics
Honor 4-5 : Cheating: The Basics
Honor 4-6 : Stealing: The Basics
Honor 4-7 : Concerns from the Year
Honor 4-8 : Honor on Cruise/ Away from USNA

Plebe Summer Lessons

8 Honor Lessons
6 Character Development Lessons
Distinguished Speaker Series

Figure 5.1: *Honor Lessons (1996-1997)*

TOTAL NUMBER OF CASES REPORTED:

by midshipmen:	38
by faculty:	26
by Bancroft Hall officers:	4
other:	1

ACCUSED BY CLASS:

1/C:	16
2/C:	13
3/C:	27
4/C:	13

CLASS OF 1997 STATISTICS:

Total Cases:	21
Terminated:	9
Violations:	6
Retained:	3
Separated:	2
Resigned:	1

FORMAL COUNSELING FORMS:

BY CLASS:

1/C:	14
2/C:	13
3/C:	25
4/C:	34

CLASS OF 1997 OVERVIEW:

Lying:	12
Cheating:	3
Stealing:	0

Figure 5.2: *1997 Year End Honor Statistics*

The Character Development Division is responsible for the planning and execution of the Integrity Development Seminars (IDS) Program. The focus of IDS is on defining character and its relation to service as a Naval Officer. The seminars are conducted on selected Mondays each month and are designed to prompt critical thought and Socratic debate among midshipmen. They are normally scheduled to last 75 minutes, shortening the other academic and athletic periods during an IDS day.

Preparations for the seminars are made by a team of IDS facilitators, substitute facilitators, and co-facilitators. This team normally comprises a senior staff or faculty member, military officer and enlisted facilitators, company officers, and midshipman co-facilitators. Facilitators for the actual seminars are usually the senior military or civilian faculty member and the midshipman co-facilitator, except when substitutes are called in to cover absent facilitators. Because the discussion groups are very small and the seminars are all run simultaneously, the IDS facilitators, nearly 300 in number, are drawn from many areas of the Naval Academy community. Facilitators may be coaches, instructors, military retirees, and senior military members. It is stressed in facilitator training that the intent is neither

DATE	TOPIC
AUG 25	Why Do We Stress Core Values and Why These Three?
SEP 29	Reflections on Courage, Cowardice, and Honor
OCT 20	What is commitment and to What or to Whom am I Committed?
NOV 24	Under Orders, Under Fire
JAN 12	Dissent, Obedience, and Courage
FEB 23	Abusing Power -- Betraying a Trust
MAR 23	Duty, Friendship, and Commitment
APR 27	Courage and Sainthood

Figure 5.3: 1997-1998 Integrity Development Seminar List of Topics

to lecture nor to reach a general consensus.

The topics are selected with the intent of broadening a midshipman's exposure to a wide range of relevant ethical issues. Like the core ethics course, the discussions often tie theoretical concepts into practical application. For a list of IDS topics and readings from the 1997-1998 academic year, see Figure 5.3.

Following each IDS session, quantitative and qualitative feedback is gathered from midshipmen and facilitators. Likert-type scales are used to answer the quantitative questions displayed in Figure 5.4. Quantitative results are then visually displayed using bar graphs. Qualitative questions are recorded through open-ended feedback and consolidated in one continuous document. Both forms of feedback are then consolidated and forwarded up the Character Development Division chain-of-command. All feedback is completed anonymously, with no attribution to or assessment of midshipmen or facilitators. The feedback is designed to provide a mechanism to improve the quality of the IDS subject matter and enhance the receptiveness of the Brigade of Midshipmen to the topic.

h. Human Relations Education Center

Human Relations Education Center (HREC) coordinates all operations associated with education,

training, and development of midshipmen and faculty in the fields of human dignity,diversity, and prevention of sexual assault and harassment. In addition to these duties, the center also works to support the chain of command in resolutions of human relations (HR) related issues and grievances.

Human Relations Education is an on-going process at the Naval Academy. Training begins during plebe summer, when six of the fourteen training hours are devoted to HR issues. Training continues into the academic year with General Military Training. GMT is conducted for all four classes and revolves around interactive seminars. Some of the previous methods used have been skits, role playing, and experiential problem solving.

GMT topics are coordinated and approved by the Commandant's Planning Board for Training. Once the topics have been chosen, the HREC sets about developing lesson plans and trainers. Currently, there is one two-person team for each company: an officer from Professional Development Division and the company's first class midshipman Human Education Resource Officer or HERO.

1. **Do midshipmen carry most of the discussion?**
   59% of MIDN agree or strongly agree
   45% of faculty agree or strongly agree
2. **Were the midshipmen in your group prepared for the discussion?**
   51% of MIDN agree or strongly agree
   48% of faculty agree or strongly agree
3. **Did the 1/C co-facilitator come prepared?**
   74% of MIDN agree or strongly agree
   82% of faculty agree or strongly agree
4. **Did the discussion exercise your moral reasoning?**
   44% of MIDN agree or strongly agree
   70% of faculty agree or strongly agree
5. **How long did the IDS Session last?**
   Mean of 70 minutes
6. **What is the ideal length of an IDS session?**
   73% of MIDN say 70-80 minutes
   65% of faculty agree or strongly agree

MIDSHIPMAN-ONLY QUESTIONS

1. **Was your facilitator prepared for the session?**
   78% of MIDN agree or strongly agree
2. **Did IDS motivate further discussion after the session?**
   45% of MIDN agree or strongly agree

FACILITATOR-ONLY QUESTIONS

1. **Was the pre-seminar useful?**
   66% of faculty agree or strongly agree
2. **Was the facilitator's guide useful?**
   75% of faculty agree or strongly agree

Figure 5.4: *Most Recent Available Questions and Likert Scale Feedback from IDS (Oct. 20, 1997)*

The HERO program embraces the notion that one midshipman from each class, elected by peers in every company, can effectively resolve and refer peer issues within the company based on preexisting trust between companymates and classmates. The four HEROs from each company may serve as sources of information or referral on any topic of concern to peers, be it professional, academic, or athletic. Statistically, the majority of issues handled by HEROs fall into categories of conflict resolution or stress management. The HEROs and HREC staff members also work extensively with HR-related teams and groups throughout the Naval Academy, the Department of Defense, and local civilian community.

2. Academic

a. Courses Offered

Courses presently offered in philosophy, ethics, and moral reasoning by the department of Leadership, Ethics, and Law (L/E/L) are displayed in Figure 5.5. NE203 serves as the core course in applied ethics for all third-class midshipman. NP340 is a required course for all midshipman with a General Science academic major. The remaining courses are available to all midshipmen as electives. The course titles for NP230, NP336, and NP340 are self-explanatory with regards to subject matter. NP232 explores

the ethical systems that have guided the behaviors of various warrior cultures, from the Ancient Greeks through late 20th century cultures.

b. Origins of the Core Course

Before the EE cheating scandal, the NE203 course did not exist and all other philosophy courses were taught in the History Department. The first ethics course began as a remedial course for midshipmen implicated in the EE cheating scandal, taught by Dr. Nancy Sherman. This led to the pilot NE203 course during the fall of 1995, a course created by Dr. David Johnson, the Naval Academy's senior philosopher, formerly of the USNA History department. These midshipmen who had been involved in the EE cheating scandal were taught by Dr. Nancy Sherman of Georgetown University, now the USNA Distinguished Chair in Ethics. The experimental group studied the writings on ethics of the major philosophers for an hour each week, then broke into smaller groups for practical discussions led by Academy professors. The success of that course, as well as the recommendations from students and faculty who had participated in the course, led to the creation of two pilot programs.

The pilot versions were three credit-hour courses offered to members of the Class of 1998 during the fall

semester of their sophomore year. Feedback from the 120 midshipman participants was used to structure the second pilot course in the spring of 1996. After compiling lessons from both of these pilot courses, the L/E/L Department designed and implemented a permanent version of NE203 as a core course for the Class of 1999.

c. Pedagogy of the Core Course

The core NE203 course, Ethics and Moral Reasoning for the Naval Leader, has two main components: large group lecture and small group discussion. The pedagogical aspects of this course are driven by economic forces relating to human resource management. The Naval Academy is not adequately funded to maintain a large cadre of qualified civilian philosophers. Moreover, manpower from Fleet Navy and Marine Forces is not available to supply the number of qualified philosophy instructors that would be required to fill teaching slots in all NE203 classes. Therefore, the class is structured around three meetings per week. Normally, the first meeting will be a large lecture presented by one of the five civilian philosophers. The other two meetings involve small group discussion, normally less than 20 students, facilitated by senior faculty members and military officers. The small group discussions involve practical studies linking military applications to the

NE203 - Moral Reasoning for the Naval Leader

NP230 - Introduction to Philosophy

NP232 - Ethics: The Code of the Warrior

NP336 - Philosophy of Religion

NP340 - Philosophy of Science

Figure 5.5: *USNA L/E/L courses in philosophy & ethics*

LECTURE TOPIC	MAJOR READINGS
Constitutional Ethics	Martin Luther King John Rawls
Relativism	Plato
Utilitarianism	Jeremy Bentham John Stuart Mill
Kantian Duty Ethics	Immanuel Kant
Lying	Sissela Bok
Justice	John Locke John Stuart Mill
Rights	Thomas Hobbes John Locke Jean-Jacques Rousseau
Natural Law	St. Thomas Aquinas
Divine Command	Various Religious Scriptures
Virtue Ethics	Aristotle
Just War	Aristotle
Conduct of War	Walzer
Moral Leadership	Epictetus

Figure 5.6: *Philosophical Concepts presented in NE203*

philosophical concepts addressed in the large group lectures. For a review of the major concepts and related readings, see Figure 5.6.[237]

3. Assessment

Institutional Research Center is the main repository of research conducted on programs and midshipmen at the United States Naval Academy. At the present time, little assessment of the ethics instruction programs at the Naval Academy has been conducted. As mentioned in the previous chapter, surveys of midshipman attitudes on honor are conducted every year. Additionally, two different projects researching values have been conducted, but none has been empirically linked directly to effectiveness of moral instruction and character development. At the end of the 1998-1999 academic year, first-class midshipmen will take a second Defining Issues Test, the first having been taken during their plebe year. This effort will be geared toward measuring the change in moral reasoning over the course of their stay in Annapolis, as they are the first group to have

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[237] Excellent synopses of these theories can be found in, among others, three secondary sources: David E. Johnson, George R. Lucas, and Paul E. Roush [Eds], Readings in Philosophy and Ethics for Naval Leaders (New York: American Heritage Custom Publishing, 1995); Daniel Bonevac [Ed] Today's Moral Issues: Classic and Contemporary Perspectives (London: Mayfield Publishing Company, 1996); Lawrence C. Becker and Charlotte Becker [Eds.], "History of Western Ethics," Encyclopedia of Ethics (New York: Garland Publishing, Inc., 1992).

undergone four years of character development and moral instruction. Information on results of the first test is not currently available, but should contribute considerably to this topic.

C. UNITED STATES MILITARY ACADEMY (USMA)[238]

1. Military

a. The Honor Code

The comparatively more stringent nature of the USMA honor system is typified by use of an "Honor Code", as opposed to the "Honor Concept" in use at the Naval Academy.

The Cadet Honor Code of the United States Military Academy dates back to the earliest days of the institution, but was only first codified under Superintendent Brigadier General Douglas MacArthur. The cadet members of the Honor Committee were first elected in 1922, all honor matters having been handled unofficially and sometimes in a clandestine manner. The USMA Honor Code is also more succinct than the aforementioned USNA version: "A cadet will not lie, cheat or steal, nor tolerate those who do." The difference here is that a cadet who observes an honor

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[238] Sources for Military Academy information used in this section: On-line at "www.usma.edu"; telephone interview with and documents from Captain Charles Stone, Special Assistant to the Commandant for Honor Matters; telephone interview with Colonel Anthony Hartle, USMA Department of English; USMA, The Four-Year Honor Education Program, 1994.

violation is *obligated* to inform a member of the Cadet Honor Committee within 24 hours. Unlike in Annapolis, formal counseling is not an option at West Point. Any cadet who "tolerates" a violation of the code may be implicated as a fellow honor violator with the original violator.

Other aspects of the USMA honor system are virtually identical to the USNA honor system. A supermajority of nine voting members of the committee is required to find a cadet in violation. All findings of violation are forwarded to the Superintendent, and not through the Commandant as at USNA. The Superintendent may exercise discretion and overturn a finding, retain a violator in probationary status, or make a recommendation of separation to the Secretary of the Army.

b. Honor Education

Honor education at West Point is handled by Cadet Honor Education Teams (CHETs), one for each of the 36 cadet companies. A CHET is comprised of the Company Tactical Officer and Non-Commissioned Officer, the Cadet Company Commander, Honor Representatives from the three upperclasses, one permanent faculty member, and two rotating members of the faculty. Over the course of four years, each cadet will be exposed to 44 hours of honor education, 75% of which involves reflective practicums. These practicums are

similar in nature to the USNA IDS program, involving small group discussions between peers involving hypothetical and ethically challenging scenarios. The practicums, like IDS, are prepared, rehearsed, and conducted under the mentorship of senior professors. Unlike IDS at USNA, plebes do not participate in the ethical dilemma practicums. Honor instruction is based on themes specific to each class year: the honor code for freshmen; the spirit of the honor code for sophomores; Army values for juniors; and the Army professional ethos for seniors.

2. Academic

The core course offered at the Military Academy that most closely approximates the course in moral reasoning offered at the Naval Academy is called simply "Philosophy" of PY201. Unlike Annapolis, the West Point course is offered only in the first semester of sophomore year. Also unlike Annapolis, adequate manning of philosophy teaching billets at West Point allows each class to be taught in its entirety by a qualified philosopher who is also an active-duty Army officer. This is a break from the Naval Academy method of team instruction by civilian philosophers and senior military officers who do not necessarily possess the level of expertise in philosophy or ethics that may come with graduate and post-graduate degree certification.

The material that is covered in the core course at West Point is virtually identical to the material in the moral reasoning course in Annapolis. The course also predates the Naval Academy course by almost 15 years. Elective philosophy courses taught at the Naval Academy are all available under different titles at the Military Academy.

3. Assessment

The Military Academy uses a permanent Honor Review Committee (HRC) to regularly assess the effectiveness of honor-related programs. However, Colonel Hartle stated that no information on the success of HRC could be provided to persons or organizations outside the Military Academy. Due to time constraints, this issue was not pursued in any greater depth, although future research could gain from a review of the HRC's work.

D. UNITED STATES AIR FORCE ACADEMY (USAFA)[239]

1. Military

a. The Honor System

[239] Sources for Air Force Academy information used in this section: On-line at "www.usafa.af.mil"; telephone interview with Colonel Charles R. Myers, Head, USAFA Department of Philosophy and Fine Arts; telephone interview with and documents from Captain Jessica Hildahl, associate professor and PY310 course coordinator, USAFA Department of Philosophy and Fine Arts; Dr. William Gibson, USAFA Department of Philosophy and Fine Arts, and USAFA Center for Character Development; Lieutenant Colonel Hurd, USAFA Character Development Assessment Working Group.

The Air Force Academy honor code is nearly identical to the West Point version of the code. Like the USMA honor code, the USAFA code also has a non-toleration clause. Additionally, there is no option for formal counseling to terminate the processing of an honor violation, as there is at the Naval Academy. Like the Naval Academy and unlike the Military Academy, the Commandant of Cadets makes recommendations to the Secretary of the Air Force, via the Superintendent, for termination of the case, honor probation, or disenrollment from the academy.

b. Center for Character Development

The mission of the USAFA Center for Character Development is to facilitate character development programs and activities throughout all aspects of the Academy experience. The Character and Ethics Division of the Center for Character Development is engaged in the development of a variety of initiatives, including the following: Academy Character Enrichment Seminars (ACES), the Falcon Heritage Forum (FHF), Adventure Based Character Development Branch, and the Ethical Development Branch.

ACES provide character development programs for all personnel involved in cadet development. Attendees include cadet leaders from various elements of the Cadet Wing such as cadet commanders, honor and human relations

representatives, and athletic team captains. Day-long seminars are conducted away from the Academy grounds using high-caliber speakers, professionally outfitted meeting rooms, and provisions for meals all of which is funded through donations from the Association of Graduates. The objective of the seminars is to explain the importance of character development and the role of Academy personnel in that character development process. Participants engage in character development dialogue which focuses upon both mentorship and ethical discussant skills. Approximately 900 Academy personnel each year, or approximately 20% of the base population, participate in ACES annually. Those most closely allied to the character development effort, such as military and academic instructors, receive priority scheduling for ACES, followed by those less frequently engaged with cadets, such as admissions and administrative personnel.

The Falcon Heritage Forum (FHF) is designed to link cadets with successful USAF veterans who have experienced core values in operational service. FHF is held on one Friday in the fall, beginning with a briefing to the veterans given by the Center Director. Veterans are then attached to cadet escorts for the remainder of the day attending lunch in the mess hall, dinner and small group discussions at the officer's club, a cadet parade on

Saturday morning, a pre-football game tailgate with the cadets and seating with the cadets during a football game. Participants are screened by the Center and assigned to individual cadet squadrons (like USNA and USMA companies) to provide continuity of squadron mentors. The veterans are only asked to pass on their wisdom and views in a way that is relevant to cadets.

Adventure Based Character Development uses physically and mentally demanding activities to instill teamwork, courage, leadership, and character. Cadets are challenged to use teamwork and ethical decision making processes to master a variety of obstacles. The program is advertised as learner-centered opportunity to illustrates the potential of collaborative effort and alignment around a clear vision.

Ethical Development Branch coordinates Character Development Seminars, similar to Integrity Development Seminars at USNA with some differences. First, USAFA cadets are offered only one or two character development each semester. Second, unlike IDS, which is universal for the entire Brigade of Midshipmen, the USAFA seminars are targeted to particular cadet classes or groups. Character Development Seminar topics are consistent with USAFA's eight character development outcome objectives. They seminars are conducted during periods in the academic day that have been

allotted to military training activities.

2. Academic

The core Ethics course, PY310, is taken by cadets in either their sophomore or junior year. The course is taught using the Harvard Case Study Method which, for all intents and purposes, mirrors the pedagogy used at the other academies. That is, philosophical theories are woven into practical and relevant military scenarios. The readings are also similar to the basic material in the core courses at Annapolis and West Point. One class period per week is devoted to moral dilemmas and ethical decision making. As at West Point, the course is taught solely by professors and associate professors possessing degrees in philosophy and ethics. A majority of the instructors are active-duty military officers, but the number of qualified philosophers still exceeds the complement of USNA philosophers by two or threefold.

3. Assessment

The Air Force Academy is in the process of establishing a permanent body for assessment known as the Character Development Assessment Working Group (CDAWG). CDAWG is chaired by a brigadier general and manned by colonels and lieutenant-colonels. The group is still in its infancy, and has only recently laid the foundation to comprehensively

assess the architecture and policies for character development. The group will focus more on process measures, such as philosophical foundations of the academic policy, as opposed to outcome measures, such as individual moral change. CDAWG has also developed a temporal model or "spiral" of moral development encompassing guiding principles, character development initiatives, and the 8 character objectives.

E. ROYAL MILITARY COLLEGE OF CANADA (RMC)[240]

The RMC, located in Kingston, Ontario serves to educate undergraduate officer-cadets, as well as graduate level commissioned officers. RMC has no formal "character development" program, but is currently in the process of developing one along the lines of U.S. service academy programs. This new push is consistent with curricular changes at universities around the world, but the roots of the burgeoning program share some similarities with Naval Academy efforts. As in the U.S. armed forces, the Canadian forces have suffered public humiliation involving ethically questionable activities its members, most notably in Somalia. RMC also has no formal "honor code"; offenses such

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[240] Sources for information on the Royal Military College of Canada used in this section: on-line at "www.rmc.ca"; telephone interview with Lieutenant-Colonel Peter Bradley, Head, Military Psychology and Leadership Department.

as lying, cheating, and stealing are handled as legal matters under the Canadian military justice codes. The Military Psychology and Leadership (MPL) Department of the Arts Division teaches three mandatory psychology courses to all officer-cadets. The first course is an introductory psychology course, the second course is a sociology course, and the third, taken in the fourth and final year, is a course known as "Military Professionalism and Ethics". The latter course is a cross between military leadership and philosophy. The stated goal of the core courses is to collectively develop qualities of leadership and stimulate awareness of the ethics of the military profession.

F. ROYAL MILITARY ACADEMY OF BELGIUM (RMA)[241]

Contacts were made through e-mail correspondence with the Royal Military Academy of Belgium. However, due to time constraints, both in Brussels and at home, limited information is available at this time. The philosophy unit of the Behavioral Sciences department teaches research methodology, social philosophy, and logic. Lessons in this unit are designed to confront issues of decision making, leadership, social justice, and "Just War" theory. The unit also offers a major degree program in philosophy. The

[241] Sources for information on Royal Military College of Belgium used in this section: On-line at "www.rma.ac.be"; e-mail contact with Mr. Philippe Bounameau, Assistant to the Chair of Philosophy, Royal Military Academy.

academy seeks to teach each cadet seven elements of the officer's ethic: adherence to mission, responsibility, allegiance, representativeness, comradeship, respect, and purity.

G. AUSTRALIAN DEFENSE FORCE ACADEMY (ADFA)[242]

The Australian Defense Force Academy is located in, Canberra, the national capital, and is the major commissioning source for all Australian and New Zealand armed services. Academic programs are coordinated at ADFA under the auspices of the University of New South Wales, while officer-cadets undergo Common Military Training (CMT) during their three years at the academy that is not directly linked to academic degree programs. CMT is given in 20 separate areas, ranging from five 50-minute periods of counseling to 168 50-minute of ceremonial drill. Character development was recently introduced to CMT at ADFA, due largely in part, as at other academies, to public embarrassments at the academy and in the forces at large. These incidents were mainly related to standards-of-conduct and sexual misconduct. The new Character Development program comprises 44 50-minute periods of instruction spread out over three years. The Character Development course is

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[242] Sources for information on Australian Defense Force Academy used in this section: On-line at "www.adfa.oz.au"; e-mail contact with LT Don Draiden, Royal Australian Navy.

closely integrated with a Leadership training course, and subjects include personal qualities, ethics and morality, and decision making. There are also continuous three-day Character Development Seminars. No information on the honor system or assessment of these programs was available at the time contacts were made.

H. SUMMARY

Many of the programs surveyed have distinct similarities in methodology and origin. Moreover, in the case of U.S. service academies, this is not purely coincidental. Assessment of the success of these programs is a common and problematic issue. However, with a more detailed and widely-distributed effort, collective benefits can be realized from review of programs at different organizations, both where there have been successes and where there have been failures. As more civilian and military colleges and universities establish character and moral development programs, the volume of information available for review will increasingly benefit many different organizations. Conclusions and recommendations from this review will be discussed from this chapter will be discussed in Chapter VIII as they relate holistically to the entire body of research.

VI. QUANTITATIVE ANALYSIS OF POTENTIAL INDICATORS

> The job of this generation is to properly educate future generations. This instruction may include ethical education. . . . The transformation of business, organizations, and society requires new theories and models of individual and institutional behavior.[243]

This chapter is an attempt to establish empirical quantitative indicators of the effects of ethics training on midshipman behavior. As mentioned in the Chapter V, there is a dearth of both Naval Academy-specific research and statistical data in the area of moral development at Annapolis. Another important point to note is that in general conversation among officers, senior enlisted personnel, faculty members, and midshipmen, statistics and grades in areas such as conduct, military performance, and honor are often accepted as *de facto* indicators of the ethical state of midshipmen, be they in groups or as individuals. Further, in light of the theoretical reviews from Chapter V, one would expect the mean of these indicators to improve after ethics training had been conducted in the sophomore year. In summary, this Chapter analyzes any data that may be (even loosely) related to the areas of ethical behavior and moral development.

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[243] Andrew Sikula, "Concepts of Moral Management and Moral Maximization," Ethics & Behavior, Volume 6, Number 3, 1996,
p. 181.

A. OVERVIEW

In common usage, the word *ethics* is used to describe the set of principles that guide human endeavor through the conduct of social and professional proceedings.[244] Where ethics exists as the abstract philosophies of right and wrong, morals embrace the practical incorporation of these abstract theories of ethics.[245] Yet, although there are certain generally accepted universal moral practices,[246] there are not necessarily absolutes in ethics at the organizational level. What may be considered appropriate standards of conduct within the confines of a federal penitentiary may be considered objectionable within the solemn halls of a religious monastery. Hence, it becomes the responsibility of an organization, in this case the U.S. Navy and the United States Naval Academy to determine its own principles of ethical behavior.

Institutionally generated principles may evolve from

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[244] Webster's New Collegiate Dictionary (Springfield, MA: Merriam-Webster, Inc., 1986) offers the following two definitions: the discipline dealing with what is good and bad and with moral duty and obligation; the principles of conduct governing an individual or a group.

[245] Sikula, p. 182.

[246] At least in western schools, the study of ethics has traditionally centered around some attempt to philosophically reconcile the good of the individual with the good of the group. For a discussion see: Lawrence C. Becker and Charlotte Becker [Eds.], Encyclopedia of Ethics (New York: Garland Publishing, Inc., 1992).

the value systems of the institution's constituent members, the standards of the culture in which the institution operates, the professional goals of the institution, or a combination of all three. Also, in most organizations, informal standards of ethical behavior are developed as a by-product of the sociological system; successful organizations go further and formally inculcate the individual with standards of behavior. Regardless, a complementary relationship between the efforts of the group toward organizational effectiveness and the effects of resident formal and informal ethics structures is essential to the long term success of that organization. Evaluation of the qualitative nature of the relationship may hinge upon some quantitative form of measurement of the aggregate ethical state or moral climate within the working environment. In turn, the measurability of the success of this relationship is founded on the premise that there *are* readily discernible indicators of the state of morality and the effects of ethics training within the organization.

From this rationale comes the imperative to ascertain quantifable indicators of the ethical state at the USNA and the behavioral tendencies and moral attitudes of the members of the Brigade of Midshipmen. Any research that furnishes these ends can provide the necessary information required to

review the existing moral education program, highlight resultant strengths, and make changes wherever necessary. For officers and faculty involved in the training and development of midshipmen, proficiency in the analysis of the effects of formal and informal ethics processes can facilitate improvement in the moral quality of graduates, as well as the circumvention of chronic trouble areas.

B. BACKGROUND

The goal of normative behavioral development at USNA is to reconcile the conflict between the desire to serve that brings new midshipmen to the portals of Bancroft Hall and the two decades worth of morally relativistic identifications with which many of them arrive at Annapolis. This is pursued in two interdependent milieus, as described in Chapters I and V. The first is pursued formally, through standardized classroom instruction and discussion designed to enrich cognitive development. The second is pursued informally, through the emulation of latently modeled praxes applied within the socio-military environment. Academic instruction and seminars in applied ethics constitute the former. I propose that the latter occurs as an outgrowth of the demands placed on midshipmen by the conduct and performance systems, the honor concept, the leadership structure within Bancroft Hall, and the socialization

processes within midshipman and officer senior/subordinate/peer groups.

C. OVERVIEW OF SYSTEMS

1. Conduct System

Following the Civil War, Naval Academy Superintendent ADM David Dixon Porter and his second in command, Stephen B. Luce, set up a series of changes designed to bolster the discipline and, in turn, the unity and professional ethos of the Brigade of Midshipmen. It was during this period that drill parades, class privileges, academic excellence, and "the system requiring upperclassmen to report the misdeeds of the younger students" were instituted.[247] From these humble beginnings have evolved the conduct, performance, and honor systems of today's Naval Academy.

The conduct system comprises just more than 100 offenses, divided into minor and major levels, each bearing a maximum number of assignable demerits.[248] Conduct grades are assigned each emester, based on the number of demerits accumulated during the respective semester (See Figure 6.1).[249] In addition, there is a maximum number of

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[247] James Calvert, The Naval Profession (New York: McGraw-Hill Book Company, 1965), p. 61.

[248] United States Naval Academy, Administrative Conduct System Manual: Instruction 1610.2, (Annapolis, MD, 1997), p. A-1.

[249] Ibid., p. 5-1.

cumulative demerits allowed over the course of four years, beyond which the midshipman is subject to separation proceedings (See Figure 6.2).[250]

The Administrative Conduct System Manual of the United States Naval Academy states:[251]

> Midshipmen must comply with the substance, spirit, and intent of all directives and avoid conduct that might reflect discredit on the Brigade of Midshipmen, the Naval Academy, and/or the Navy, . . . or *indicates questionable personal morals* [italics added]. Such conduct is considered unbefitting a U.S. Navy or Marine Corps officer.

Clearly, this system is an administrative attempt to measure the level of conformity with espoused morals and standards of normative behavior in prospective Navy or Marine Corps officers. Intuitively, one could argue that this is only measurement by default: not a measure of whether a midshipman *is* satisfactory in ethics and morals, but whether he or she *is not* satisfactory in ethics or morals. An easy counter to this postulate is that all midshipmen will break rules, but the ones who repeatedly engage in "conduct that

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[250] Ibid., p. 5-2.

[251] Ibid., p. 1-1.

LETTER GRADE	FIRST CLASS	SECOND CLASS	THIRD CLASS	FOURTH CLASS
A	0-10	0-15	0-15	0-20
B	11-25	16-30	16-35	21-45
C	26-40	31-45	36-55	46-70
D	41-60	46-65	56-75	71-110
F	61 >	66 >	76 >	111>

Figure 6.1: *Demerit Ranges Per Letter Grade*

CLASS	YEARLY DEMERIT ALLOWANCE	CAREER DEMERIT ALLOWANCE
1/C	140	280
2/C	140	250
3/C	160	220
4/C	180	180

Figure 6.2: *Yearly/Career Demerit Allowances*

might reflect discredit on the Brigade" are the ones who will identify themselves as not satisfactory in ethics and morals. Therefore, the conduct system will serve as a good filter, albeit not perfect, for midshipmen residing in the negative tail of distribution along the moral bell curve.

2. Honor System

The Honor Concept[252] mirrors the purpose of the conduct system. Designed to emphasize the unacceptable nature of lying, cheating, and stealing in the Naval Service, it has been maintained by midshipmen since 1951.[253] "The Honor Concept represents the minimum standard for midshipmen . . . Midshipmen unable to conduct themselves in a manner indicating the highest standards of honesty and integrity may not be fit to hold a commission in the Naval Service".[254] Again, not a perfect filter, but sufficient to the desired ends, stressing that "to be guilty of lying, cheating, or stealing, an accused must have the necessary state of mind".[255]

Reported honor offenses have been relatively rare over

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[252] See Chapter V.

[253] United States Naval Academy, Honor Concept of the Brigade of Midshipmen: Instruction 1610.3f, (Annapolis, MD, 1994), p. 1-1.

[254] Ibid.

[255] Ibid., p. 1-2.

the last fifteen years. With a mean of 98.1 reported offenses per year and an average Brigade strength of 4,400, less than one quarter of one percent of all midshipmen have their honor formally called into question each year (See Figure 6.3). Numbers for reported honor violations were below the fifteen year mean during 1997 and 1998, at 69 and 81 respectively.[256] These numbers are further reduced during processing of violations, following investigation, dismissal by the board, and recommendations for probation. As Figure 6.3 shows, the separation/resignation rate following final adjudication of an honor offense is significantly lower than the report rate.

3. Military Performance System

The performance system, outlined in Commandant of Midshipmen Instruction 5400.5A, is a loose approximation of the Fitness Report system for commissioned officers. The performance grade is assigned, in most cases, by the company officer and is a subjective reflection of each midshipman's performance in military duties such as drill, personnel inspections, room inspections, fourth class indoctrination, collateral billets, as well as a summary of leadership potential exhibited that semester. In the late 1980s,

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[256] Source for Figure 6.3 and statistics: USNA Institutional Research Center (IRC).. See Chapter V for further explanation.

guidelines for the assignment of individual grades were published to avoid grade inflation or deflation and to help remove some of the subjectiveness that could be affected through the whims of individual company officer personalities (See Figure 6.4).[257] It is important to note that the midshipman leaders on the company staff also submit recommendations to the company officer for performance grade assignment. Nonetheless, in theory, if a company officer were to follow these grade assignment ranges, the average performance grade should fall between 2.55 and 2.9. Even if a company officer were to assign grades on the highest end of the allowable ranges, and turn the bottom 10% of D's into C's, the highest possible average company performance grade would be a 3.0. As the studies will show, most company officers are assigning grades at a higher level than the ranges allow. Apparently, the ranges are not strictly enforced. However, I am told anecdotally by personnel at the USNA Institutional Research Center (IRC) that grade inflation was significantly worse before the quotas were established.

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[257] United States Naval Academy, Military Performance System for the Brigade of Midshipman: (Instruction 5400.5A), (Annapolis, MD, 1994), Section 6-3-6.

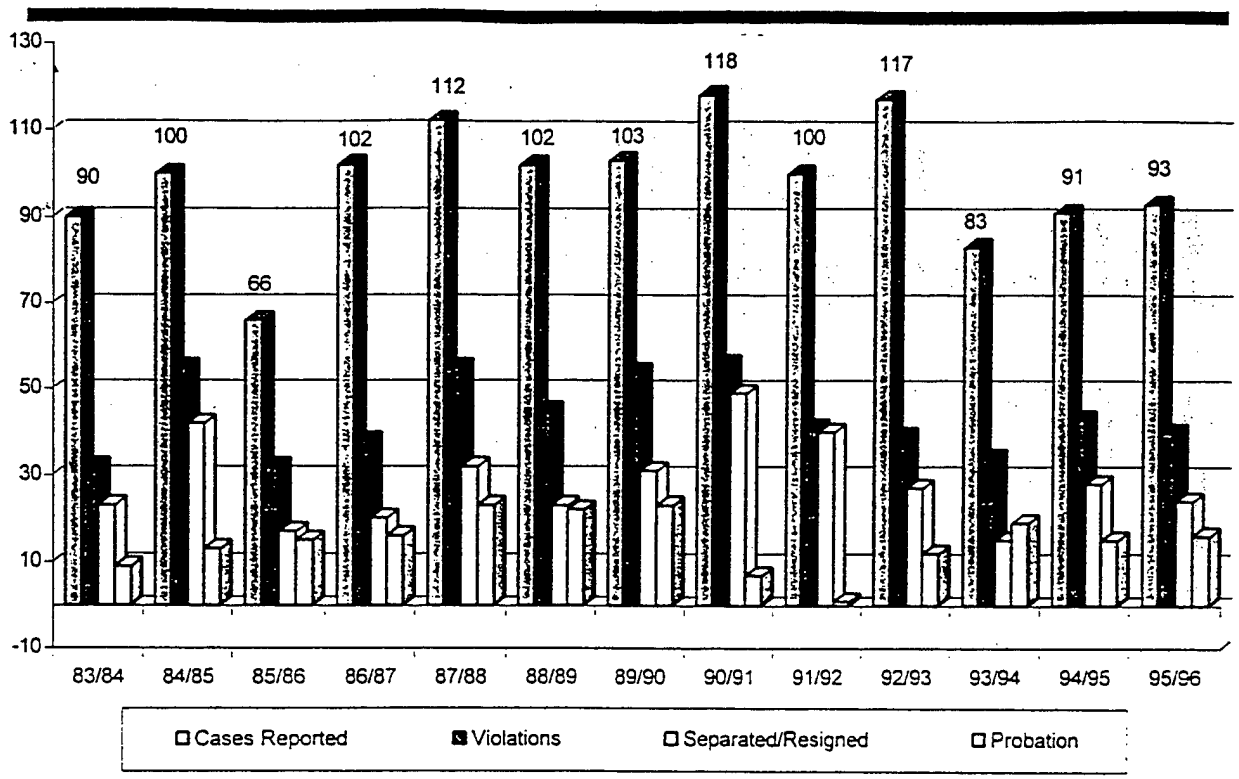


Figure 6.3: *Honor Statistics: 1983 - 1996*

GRADE	PCT OF COMPANY
A	20 - 30%
B	25 - 40%
C	20 - 45%
D - F	3 - 10%

Figure 6.4: *Performance Grade Assignment Ranges*

4. Summary of Systems

As an empirical measure of each midshipman's ethical state, the conduct grade is most valuable available piece of data because of its virtual independence from the subjective judgement of the company officer. Also, the USNA regulations plainly identify conduct offenses as behaviors that might reflect questionable morals. As will be shown in Study 1, the performance grade is correlated directly to the conduct grade. Thus, it does hold merit as a smaller scale measure of a midshipman's conformity with the professional behavioral norms of the military. Honor offenses, although infrequent, represent an absolute minimum in the determination of moral qualities of prospective Navy and Marine Corps officers. For the purposes of statistical correlation, these rates are too low to predict significant trends. However, with reporting and processing of offenses remaining the same, significant changes in the number of offenses may relate more about the moral health of the organization as a whole.

D. STUDY 1

1. Method

The goal of Study 1 was to determine what influence gender, ethnic category, academic major, age, and prior

military experience have on conduct and performance grades over four years at the Naval Academy. This type of information would be of use in responding to anecdotal complaints that stereotype the efforts of members of various demographic groups.

The data from 1064 midshipmen inducted with the Class of 1995 was used seeking trends relating to how midshipmen in different categories fare under the conduct system over the course of four years at USNA.[258] After this regression, the same study was completed for performance system grades. Raw data included the name, alpha code, company, birthday, ethnic group, prior service, and major. Company data included 37th company midshipmen, the category for midshipmen who separated from the Academy prior to graduation. Ethnic group codes included white, black, Hispanic (non-Puerto Rican), Puerto Rican, Asian (non-Filipino), Filipino, and Native American. Prior services listed in the raw data files included Navy, Marine Corps, Army, Air Force, and all military prep schools. The following variables were created for the study:

CLASS: The variable ALFACODE was divided by 10,000, then converted from a numeric variable to a string variable. This allowed separation of Class of 1995 data

[258] All data was obtained from USNA IRC in raw ASCII text format and manually formatted for SPSS.

from Class of 1999 data that was included in the same raw file. Class of 1999 data was not included in the first title because information was only available through the end of sophomore year. Therefore, four year cumulative grades could not be completed for performance and conduct tests.

CONDCUM: This is an average of the eight conduct grades individual midshipman from the Class of 1995 earned during their time at the Academy. Midshipmen from the Class of 1999 and midshipmen from 37th company (non-graduates) did not have enough data to calculate a cumulative conduct grade and were therefore not included in the study. Each semester's grade was obtained in raw data form and renamed in the form of CONDA_B; the A variable represented the class year (4, 3, 2, or 1) and the B variable represented the semester (1st or 2nd). For example, conduct grades for first semester of fourth class year were annotated as COND4_1. The CONDCUM variable was then created using the "compute" function, adding all CONDA_B variables and dividing by eight. Lines with system missing values, such as 37th company and Class of 1999, did not have cumulative grades calculated. It is important to note that it is not unusual for midshipmen to reach graduation with conduct grades approaching 4.0. A cumulative grade of 4.0 would indicate that the midshipman had never been punished under the administrative conduct system. Only 382 midshipmen from

the class of 1995 were listed as having less than a 4.0 in conduct (See CONDCUM and CONDNOT4 frequency and distribution displays in Figures 6.5 and 6.6).

PERFCUM: An average for midshipman performance grades was computed in the same manner as the CONDCUM variable. Because of the subjective nature of the grade, as well as the range requirements, it is rare that a midshipman will leave the Naval Academy with a 4.0 in performance. Only 226 midshipmen from the Class of 1995 left USNA with a 4.0 in performance (See PERFCUM and PER4.0 frequency and distribution displays in Figures 6.5 and 6.6).

FEMALE: The GENDER variable was obtained in raw form as "1" for males and "2" for females. The FEMALE variable was then transformed from GENDER as "0" for not female and "1" for female (See FEMALE frequency display in Figure 6.5).

AGEIDAY: BIRTHDAY was actually included in the raw data in numeric form (DDMMYY.00) and not string form as one might expect. Hence, a midshipman's age on Induction Day could be easily transformed from the BIRTHDAY variable using the "If" function and greater than/less than operands to determine ages from 17 to 23. There was no BIRTHDAY data available for the Class of 1999.

VARIABLE	*DESCRIPTION*	*FREQUENCY OR RANGE*
CLASS	USNA graduation year	1995 or 1999
CONDA_B or PERFA_B	A=Class year; B=Semester	A=4 (4th class) to 1 (1st class); B=1 (fall) or 2 (spring)
CONDCUM	Avg USNA conduct grade	Possible 0.0 to 4.0
PERFCUM	Avg USNA mil perf grade	Possible 0.0 to 4.0
FEMALE	GENDER=2 (female)	Dichotomous, n=133
AGEIDAY	Age on Induction Day	17 to 22
MINORITY	All ETHNIC not=1 (White)	Dichotomous, n=220
PREP_ENL	Prior mil or prep exp	Dichotomous, n=255
GROUP1	Engineering major	Dichotomous, n=389
GROUP2	Science or tech major	Dichotomous, n=265
GROUP3	Humanities/Soc Sci major	Dichotomous, n=388
DELTACON	COND4_1 minus CONDCUM	Possible 0.0 to 4.0
DELTAPER	PERF4_1 minus PERFCUM	Possible 0.0 to 4.0
CONDCUM3	3rd class yr cond. avg.	Possible 0.0 to 4.0
PERFCUM3	3rd class yr perf. avg.	Possible 0.0 to 4.0
CLASSO95	Member of Class of 1995	Dichotomous; n=1064
CLASSO99	Member of Class of 1999	Dichotomous; n=1009

Figure 6.5: *Table of Variables Used in Study 1-3*

MINORITY: This variable was transformed from the ETHNIC variable by making the "white" value equal "0" and all others equal to "1" (See MINORITY frequency display in Figure 6.5).

PREP_ENL: This variable was created by transforming PRIOR data, where system missing was made equal to zero and all others were made equal to one. In this way, midshipmen who arrived with any form of prior military or military preparatory school experience were selected (See PREP_ENL frequency display in Figure 6.5).

GROUP1: GROUP1 was transformed from the MAJOR raw variable as a dichotomous variable. Any value of ENA (Naval Architecture), EME (Mechanical Engineering), ESP (Marine), EEE (Electrical), EGE (General), EAS (Aerospace),ESE (Systems), or EOE (Ocean) was assigned a value of "1". All others were made "0" under GROUP1 (See GROUP1 frequency display in Figure 6.5).

GROUP2: This variable was transformed in the same manner as the GROUP1 variable. MAJOR string variable values of SOC (Oceanography), SPH (Physics), SCS (Computer Science), SGS (General Science), SMA (Math), and SCH (Chemistry) were assigned a value of "1" under the GROUP2 variable. All others were made "0" (See GROUP2 frequency

FEMALE

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	931	44.9	87.5	87.5
	1.00	133	6.4	12.5	100.0
	Total	1064	51.3	100.0	
Missing	System Missing	1009	48.7		
	Total	1009	48.7		
Total		2073	100.0		

MINORITY

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	841	40.6	79.3	79.3
	1.00	220	10.6	20.7	100.0
	Total	1061	51.2	100.0	
Missing	System Missing	1012	48.8		
	Total	1012	48.8		
Total		2073	100.0		

CLASSO95

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	1009	48.7	48.7	48.7
	1.00	1064	51.3	51.3	100.0
	Total	2073	100.0	100.0	
Total		2073	100.0		

CONDNOT4

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1.00	382	18.4	100.0	100.0
	Total	382	18.4	100.0	
Missing	System Missing	1691	81.6		
	Total	1691	81.6		
Total		2073	100.0		

PREP_ENL

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	1818	87.7	87.7	87.7
	1.00	255	12.3	12.3	100.0
	Total	2073	100.0	100.0	
Total		2073	100.0		

GROUP1

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	1684	81.2	81.2	81.2
	1.00	389	18.8	18.8	100.0
	Total	2073	100.0	100.0	
Total		2073	100.0		

GROUP2

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	1808	87.2	87.2	87.2
	1.00	265	12.8	12.8	100.0
	Total	2073	100.0	100.0	
Total		2073	100.0		

GROUP3

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	1685	81.3	81.3	81.3
	1.00	388	18.7	18.7	100.0
	Total	2073	100.0	100.0	
Total		2073	100.0		

CLASSO99

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	1064	51.3	51.3	51.3
	1.00	1009	48.7	48.7	100.0
	Total	2073	100.0	100.0	
Total		2073	100.0		

ETHNIC

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1.00	841	40.6	79.3	79.3
	2.00	85	4.1	8.0	87.3
	3.00	68	3.3	6.4	93.7
	4.00	32	1.5	3.0	96.7
	5.00	12	.6	1.1	97.8
	6.00	7	.3	.7	98.5
	7.00	16	.8	1.5	100.0
	Total	1061	51.2	100.0	
Missing	System Missing	1012	48.8		
	Total	1012	48.8		
Total		2073	100.0		

Figure 6.6: *Study 1 Frequency Display*

display in Figure 6.5).

GROUP3: MAJOR string variable values of FEC (Economics), FPS (Political Science), HHS (History), and HEG (English) were assigned values of "1" under the GROUP3 variable. All others were made "0" (See GROUP3 frequency display in Figure 6.5).

The CONDCUM variable was linearly regressed as a dependent variable against FEMALE, AGEIDAY, MINORITY, PREP_ENL, GROUP2, and GROUP3 in Ordinary Least Squares (OLS) mode. GROUP1 was left out and was designated as the reference group. These were the only "demographic" variables available in the data set received from USNA IRC.

After the initial CONDCUM regression specification was run, independent variables that yielded poor significance or little impact on the dependent variable were removed. The regression was reestimated, using FEMALE, PREP_ENL, and GROUP3 ee (See Figure 6.7). The Bar Chart function was used to show the Mean CONDCUM distribution against the COMPANY variable (See Figure 6.9).

The same steps were completed for PERFCUM using MINORITY, CONDCUM, PREP_ENL, GROUP2, and GROUP3, AGEIDAY, and FEMALE, with GROUP1 again used as the reference group. After MINORITY and FEMALE, variables that had yielded poor significance or little impact on the dependent variable, were removed, the regression equation was reestimated (See

Figure 6.8). Finally, the Bar Chart function was run again with COMPANY as the category and Mean PERFCUM as the y-axis (See Figure 6.9).

2. Results

In the CONDCUM regressions, FEMALEs were likely to be .054 points higher in conduct than males at the .02 level of statistical significance. PREP_ENLs were .047 points lower in conduct than midshipmen who were straight high school accessions at the .01 significance level. GROUP3 majors were .044 points lower than GROUP1 and GROUP2 majors at a .005 significance level. The F statistic was 7.155, indicating that the linear regression model represented a good fit with the variables utilized. In other words, the F statistic allows a rejection of the null hypothesis that the variables have no positive, linear influence on the dependent variable. However, the R-squared of .023 shows that the variables chosen explain a low proportion of the variation in the dependent variable. In other words, there may be many other factors that influence a shift in the cumulative conduct grades.

In the PERFCUM regression, only the CONDCUM, PREP_ENL, GROUP2, and GROUP3 variables had were significant. The F-statistic and the R-squared show better model fit and better explanation of the variation in the dependent variable than

the CONDCUM regression, but there still may be independent variables from the same sample population that exert a stronger influence on the dependent variable. This regression showed PREP_ENLs score .125 points lower in military performance than high school accessions at a .001 significance level. GROUP2s performed .124 points lower than GROUP1s at a .002 significance level. GROUP3s were .126 lower than GROUP1s at a .001 significance level. Being FEMALE showed a .06 point negative effect on PERFCUM at 20% significance. The most noteworthy statistical result is the .8 point positive influence of CONDCUM, the objectively earned grade, on PERFCUM, the grade assigned subjectively by company officers. This result occurred with a at a .001 level of significance.

3. Discussion

Two telling statistics of these regressions are generated by the FEMALE and CONDCUM variables. The FEMALEs showed a negative influence of nearly .06 points in cumulative performance grades. However, this result was only significant at the .20 level. The CONDCUM influence on PERFCUM makes this a more compelling situation. CONDCUM showed an .83 point influence on PERFCUM at the .001 significance level. This means that, in the subjective arena of military performance grading, company officers tend

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	95% Confidence Interval for B	
		B	Std. Error	Beta			Lower Bound	Upper Bound
1	(Constant)	3.791	.180		21.109	.000	3.439	4.144
	PREP_ENL	-5.7E-02	.024	-.108	-2.336	.020	-.104	-.009
	GROUP2	-3.7E-03	.019	-.007	-.197	.844	-.041	.033
	GROUP3	-4.5E-02	.017	-.098	-2.658	.008	-.079	-.012
	MINORITY	1.3E-02	.019	.023	.650	.516	-.025	.051
	AGEIDAY	5.3E-03	.010	.024	.547	.585	-.014	.024
	FEMALE	5.5E-02	.023	.079	2.374	.018	.010	.101

a. Dependent Variable: CONDCUM

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	95% Confidence Interval for B	
		B	Std. Error	Beta			Lower Bound	Upper Bound
1	(Constant)	3.889	.010		383.355	.000	3.869	3.909
	PREP_ENL	-4.7E-02	.017	-.089	-2.719	.007	-.081	-.013
	GROUP3	-4.4E-02	.015	-.093	-2.841	.005	-.074	-.013
	FEMALE	5.4E-02	.023	.078	2.368	.018	.009	.099

a. Dependent Variable: CONDCUM

Model	Variables Entered	Variables Removed	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	FEMALE, PREP_ENL, GROUP3[c]	.	.152	.023	.020	.2211

a. Dependent Variable: CONDCUM

b. Method: Enter

c. Independent Variables: (Constant), FEMALE, PREP_ENL, GROUP3

d. All requested variables entered.

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	1.050	3	.350	7.155	.000[a]
	Residual	44.553	911	4.9E-02		
	Total	45.603	914			

a. Dependent Variable: CONDCUM

b. Independent Variables: (Constant), FEMALE, PREP_ENL, GROUP3

Figure 6.7: *Study 1 Conduct Regression Analyses*

to give heavy consideration to an individual's conduct grade when assigning his or her performance grade.

As there are no strict organization-wide guidelines for measurement indicators, it would seem that the conduct grades for FEMALEs do not receive the same statistical regard as conduct grades for MALEs. Where their conduct grade is .055 points higher, this result is only statistically significant at the .20 level. Female midshipmen may need to be made aware, by company officers, of what each performance indicator's (other than conduct grade) effect will be on the final grade assignment.Another influential aspect of performance grade assignment may also be the recommendations of midshipman leaders to company officers.

The CONDCUM and PERFCUM bar charts visually displays how much difference in the distribution of conduct and performance grades there is between companies. This variation, in conjunction with the statistical influence of CONDCUM on PERFCUM, also supports the notion that performance ranges are not strictly adhered to. One would expect high Mean CONDCUMs to be joined by company with high Mean PERFCUM's.

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	95% Confidence Interval for B	
		B	Std. Error	Beta			Lower Bound	Upper Bound
1	(Constant)	3.7E-02	.406		.092	.927	-.759	.833
	FEMALE	-5.3E-02	.043	-.037	-1.229	.219	-.137	.032
	AGEIDAY	1.3E-02	.018	.028	.702	.483	-.022	.047
	CONDCUM	.819	.061	.403	13.333	.000	.699	.940
	GROUP2	-.109	.035	-.104	-3.113	.002	-.178	-.040
	GROUP3	-8.5E-02	.032	-.089	-2.666	.008	-.147	-.022
	PREP_ENL	-9.2E-02	.045	-.086	-2.054	.040	-.180	-.004
	MINORITY	-4.8E-02	.036	-.042	-1.330	.184	-.118	.023

a. Dependent Variable: PERFCUM

Model	Variables Entered	Variables Removed	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	FEMALE, PREP_ENL, GROUP3, CONDCUM, GROUP2[c]	.	.442	.195	.191	.4103

a. Dependent Variable: PERFCUM

b. Method: Enter

c. Independent Variables: (Constant), FEMALE, PREP_ENL, GROUP3, CONDCUM, GROUP2

d. Tolerance = .000 limits reached.

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	37.185	5	7.437	44.178	.000[a]
	Residual	153.026	909	.168		
	Total	190.212	914			

a. Dependent Variable: PERFCUM

b. Independent Variables: (Constant), FEMALE, PREP_ENL, GROUP3, CONDCUM, GROUP2

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	95% Confidence Interval for B	
		B	Std. Error	Beta			Lower Bound	Upper Bound
1	(Constant)	.223	.240		.930	.353	-.248	.695
	CONDCUM	.830	.061	.406	13.495	.000	.709	.950
	GROUP2	-.118	.035	-.112	-3.369	.001	-.186	-.049
	GROUP3	-8.7E-02	.032	-.091	-2.740	.006	-.149	-.025
	PREP_ENL	-8.6E-02	.032	-.080	-2.684	.007	-.149	-.023
	FEMALE	-5.6E-02	.043	-.039	-1.298	.195	-.140	.028

a. Dependent Variable: PERFCUM

Figure 6.8: *Study 1 Performance Regression Analyses*

There are other subtler points-of-interest in the regression results. MINORITYs obtain grades in conduct and performance grades similar to whites. This statistic could impact anecdotal complaints of unfair treatment, addressing claims of either overly favorable or overly unfavorable treatment. Also, although one might expect PREP_ENLs to perform better militarily at the Academy, the evidence shows otherwise. One possibility is that a "mustang's" adaptation to the military system is farther advanced when he or she arrives than the military adaptation of a high school accession. This leaves them better able to filter out "necessary" and "unnecessary" stressors (in other words, the "don't sweat the small things" mentality). This attitude is sometimes referred to as "the prior attitude" in Bancroft Hall dialectic, usually in a pejorative sense by non-PRIORs. In regards to GROUP3 majors, the statistical evidence supports anecdotal evidence of the personality types who excel in technical and non-technical majors. Graduation with an technical major may require more prioritization and self-motivation skills. It may also permit less time for nonconforming activities.

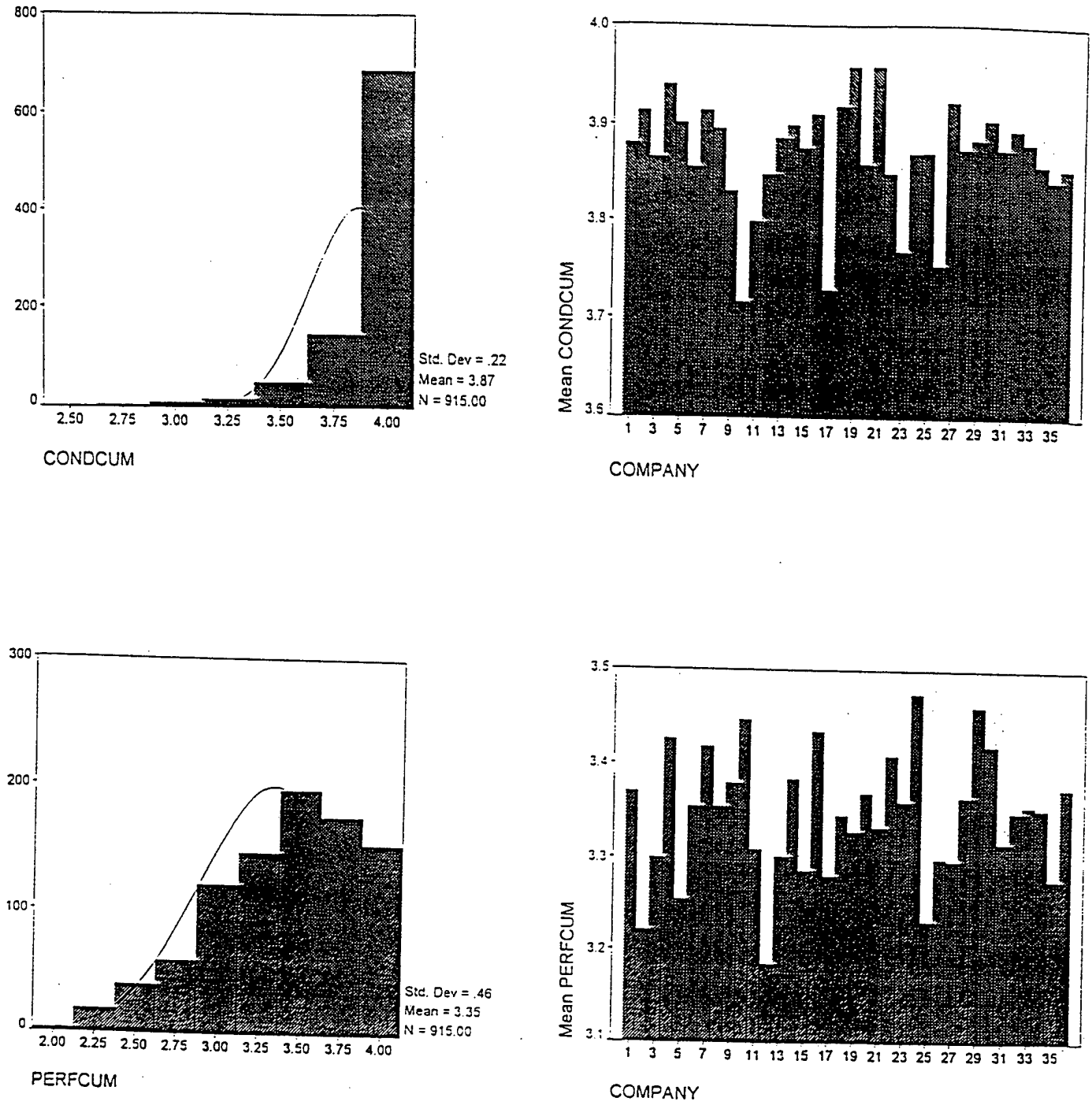


Figure 6.9: *Study 1 Bar Chart Display*

E. STUDY 2

1. Method

In Study 2, the intent was to determine how midshipmen conduct and performance achievements change over the course of four years. The sample groups used for Study 2 were similar to those in Study 1. For this study, the following variables were created:

DELTACON: This is a numeric value of the change in conduct grades, created using the Compute function. CONDCUM was subtracted from COND4_1, showing how the final cumulative conduct grade differed from the conduct grade earned during first semester of plebe year. A smaller positive or higher negative number would indicate greater improvement in conduct over four years than would a large positive number (See Figure 6.5 for DELTACON distribution display).

DELTAPER: Values for the change in performance grades were calculated in a manner similar to DELTACON values (See Figure 6.5 for DELTAPER distribution display). Again, no data was used from the Class of 1999 because information was only available for that midshipman sample group through the end of their sophomore year.

This method of searching for changes in grades was

chosen for several reasons. First, during the first semester of plebe year there is generally parity in conduct and performance grades. This is because new plebes are ordinarily still motivated from the achievement of the indoctrination summer and have not necessarily had enough time at Annapolis to become as cynical about the system as an upperclass midshipmen tend to become. Second, plebes do not have as much liberty time or money as upperclass. Therefore, there is less opportunity to get into trouble. Finally, those plebes who initially distinguish themselves as either poor performers or chronic conduct offenders early on are less likely to survive four more years. This would put them in the 37th company category and yield a system missing value for DELTACON and DELTAPER. In short, those who endure the rigors required to graduate are more likely to be satisfactory performers early in plebe year, even though they will probably reveal their truer tendencies in moral conformity over the course of four years. As in Study 1, each regression was run once, whereupon variables with poor significance or impact were removed, and the regression was run again. The last part of Study 2 involved regressing DELTAPER, as the dependent variable, on DELTACON, as the independent variable.

2. Results

On the first run of Study 2, no variables yielded significant influence on the DELTACON variable at confidence better than 75%. Also, R-squared was a very poor .009. Part of this can be attributed to the frequency of A grades during four years, leading to small DELTACON values. As mentioned in Study 1, more than 600 midshipmen graduated with the class of 1995 possessing cumulative grades of 4.0 in conduct.

With only PREP_ENL remaining as an independent variable, the regression yielded a negative .06 point influence on DELTACON at a significance level of .008. This would indicate that PREP_ENLs are more likely to have cumulative improvements in conduct grades after their first semester. In order to illuminate the meaning of this statistic, COND4_1 was run as a dependent variable against PREP_ENL (See Figure 6.10). The result was a .009 point (or .4 on a 4.0 scale) lower performance on the part of "mustangs" in conduct grades during first semester, at the .001 level of significance. This could be due to the fact that (a) many PREP_ENLs are over the legal drinking age as freshmen, and (b) conformity with USNA standards is much more difficult for experienced military personnel than is conformity with fleet standards. The F-statistic in the DELTACON vs. PREP_ENL regression was 7.097, showing a significant model fit. Nevertheless, the R-squared of .008

showed extremely slight explanation of the variation in DELTACON by PREP_ENL.

In the DELTAPER regression, only GROUP2, PREP_ENL, and MINORITY showed a level of significance better than .3. After the second DELTAPER run, PREP_ENL showed a .09 point change in grade relative to non PREP_ENL at a .08 level of significance (See Figure 6.11). GROUP2s showed a .10 point change and MINORITYs showed a .18 point greater increase in performance grades over non-MINORITIES, with both results achieved at good levels of significance.

3. Discussion

Trends relating to the change in conduct grade over the course of four years can be difficult to interpret. However, it is interesting to see that evidence supports a general improvement in GROUP2 and MINORITY performance grades and a decline in PREP_ENL grades. Every piece of evidence thus far supports the notion that "mustangs" have a more difficult time under the conduct and performance systems. Part of this could be ane age factor, where older midshipmen are more likely to consume alcohol on liberty, thereby negatively affecting conduct and performance grades. Again, the adaptational head start the PREP_ENLs enjoy early in their Academy stay probably wears off when other midshipmen are just hitting their adaptational stride.

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	95% Confidence Interval for B	
		B	Std. Error	Beta			Lower Bound	Upper Bound
1	(Constant)	.279	.239		1.170	.242	-.189	.747
	AGEIDAY	-1.0E-02	.013	-.036	-.807	.420	-.035	.015
	FEMALE	-2.2E-02	.031	-.024	-.703	.482	-.082	.039
	GROUP2	-1.1E-02	.025	-.017	-.457	.648	-.061	.038
	GROUP3	1.5E-02	.023	.025	.679	.497	-.029	.060
	PREP_ENL	-3.8E-02	.032	-.054	-1.167	.244	-.101	.026
	MINORITY	-4.5E-03	.026	-.006	-.176	.860	-.055	.046

a. Dependent Variable: DELTACON

Model	Variables Entered	Variables Removed	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	PREP_ENL[c,d]	.	.088	.008	.007	.2976

a. Dependent Variable: DELTACON

b. Method: Enter

c. Independent Variables: (Constant), PREP_ENL

d. All requested variables entered.

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	.628	1	.628	7.097	.008[a]
	Residual	80.835	913	8.9E-02		
	Total	81.464	914			

a. Dependent Variable: DELTACON

b. Independent Variables: (Constant), PREP_ENL

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	95% Confidence Interval for B	
		B	Std. Error	Beta			Lower Bound	Upper Bound
1	(Constant)	8.8E-02	.011		7.823	.000	.066	.110
	PREP_ENL	-6.2E-02	.023	-.088	-2.664	.008	-.107	-.016

a. Dependent Variable: DELTACON

Figure 6.10: *Study 2 Conduct Regression Analyses*

The MINORITY and GROUP2 results indicate a sample group that statistically experiences longer adjustment periods following induction. This adjustment eventually leads to placement in CONDCUM and, in turn, PERFCUM ahead of non-MINORITY or GROUP1 and GROUP3 peers.

F. STUDY 3

1. Method

The intent of this study was to determine the effects of formal ethics education on potential indicators of moral and behavioral conformity. USNA's Class of 1999 was the first class in which every member received education in applied ethics. A small percentage of the Class of 1998 received the training, and prior to 1995, there were no ethics classes or character development seminars. Classes in applied ethics are given during first semester of third class year. The Class of 1995 was chosen as a "control group" because it is one of the few classes that was not tainted by cheating, sex, or drug scandals since the year that assignment ranges were introduced in performance grading.

The following variables were created for Study 3:

CONDCUM3: This is an average of conduct grades earned during third class year (See Figure 6.5 for CONDCUM3 distribution display).

PERFCUM3: This is an average of performance grades earned during third class year (See Figure 6.5 for PERFCUM3 distribution display).

CLASSO95: This is a dichotomous variable transformed from the CLASS variable. Every midshipman from the Class of 95 has a CLASSO95 value equal to one. All others are equal to zero.

CLASSO99: This variable is transformed in a manner similar to the CLASSO95 variable.

COND3_2: As defined in Figure 6.5, this is a representation of the midshipman's conduct grade during their second semester of third-class, or sophomore, year. In other words, the first conduct grade assignment after matriculation in the core ethics course.

CONDCUM3 (dependent variable) was regressed on CLASSO99 (independent variable), designating CLASSO95 as the reference group. COND3_2 (after ethics training) was then regressed against CLASSO99. Also, the Bar Chart function was executed using Mean CONDCUM3 as a dependent variable against CLASS as the category. Finally, the bar chart function was executed to show the Mean COND3_2 using CLASS as the category. The same functions were completed for PERFCUM3 and PERF3_2 variables.

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	95% Confidence Interval for B	
		B	Std. Error	Beta			Lower Bound	Upper Bound
1	(Constant)	-.382	.526		-.726	.468	-1.415	.651
	PREP_ENL	7.8E-02	.071	.051	1.100	.271	-.061	.217
	AGE!DAY	8.5E-03	.028	.013	.300	.764	-.047	.064
	FEMALE	-2.4E-02	.068	-.012	-.348	.728	-.157	.110
	GROUP2	-.107	.055	-.071	-1.928	.054	-.216	.002
	GROUP3	-1.4E-02	.050	-.010	-.282	.778	-.113	.084
	MINORITY	-.178	.057	-.110	-3.143	.002	-.289	-.067

a. Dependent Variable: DELTAPER

Model	Variables Entered	Variables Removed	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	MINORITY, GROUP2, PREP_ENL[c,d]	.	.132	.017	.014	.6476

a. Dependent Variable: DELTAPER

b. Method: Enter

c. Independent Variables: (Constant), MINORITY, GROUP2, PREP_ENL

d. All requested variables entered.

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	6.740	3	2.247	5.357	.001[a]
	Residual	380.808	908	.419		
	Total	387.548	911			

a. Dependent Variable: DELTAPER

b. Independent Variables: (Constant), MINORITY, GROUP2, PREP_ENL

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	95% Confidence Interval for B	
		B	Std. Error	Beta			Lower Bound	Upper Bound
1	(Constant)	-.234	.028		-8.223	.000	-.290	-.178
	PREP_ENL	9.1E-02	.052	.060	1.752	.080	-.011	.194
	GROUP2	-.102	.050	-.068	-2.056	.040	-.199	-.005
	MINORITY	-.183	.055	-.113	-3.309	.001	-.291	-.074

a. Dependent Variable: DELTAPER

Figure 6.11: *Study 2 Performance Regression Analyses*

2. Results

In the regressions using CLASSO95 as a dummy variable, the cumulative conduct grade during third class year was likely to be .034 points higher for CLASSO99s than for CLASSO95s. This result was obtained at a .06 level of significance, although the R-squared was poor at .002. COND3_2 obtained a .10 point positive influence for CLASSO99s (See Figure 6.13). These statistics are also visually represented in the results of the bar chart functions that were executed in this study (See Figures 6.15).

In the PERCUM3 regression, CLASSO95s fared .218 points better than CLASSO99s at a significance level of .001 (See Figure 6.29). This time, R-squared improved to .025. A similar result was indicated in the PERF3_2 regression, this time with CLASSO99s obtaining a .21 point negative influence in semester performance grades (See Figure 6.30). Bar charts again provide a visual representation of cumulative and semester conduct and performance means for third class midshipmen, broken down by CLASS year (See Figures 6.31 and 6.32).

3. Discussion

CLASSO99s showed higher conduct grades over the the reference group, CLASSO95. This result was realized in both

the cumulative category and in the semester following initial core ethics training. These gains notwithstanding, performance grades were significantly worse for CLASSO99s than the control group. In other words, taking into effect the results of Study 1, one would expect a .20 point negative result in PERCUM3 for CLASSO99 to be accompanied by a similar difference in CONCUM3. This is surprising since, as it has been shown previously, conduct grades have such a strong influence on the assignment of performance grades. This disparity demonstrates, once again, that performance grades are not necessarily assigned within the mandated ranges. Because the grade is so statistically subject to the notions and vagaries of each independent company officer's performance measurement system, it is safe to discount performance as an indicator of moral quality.

As far as the conduct system is concerned, considering the grade as an indicator of the self-discipline and moral attitude of midshipmen, the applied ethics classes may have affected midshipmen's propensity to commit offenses. Certainly, the cumulative and semester averages were better for the "ethics-enhanced" midshipmen. Regardless, because of the small R-squared, is too presumptuous an effort to confidently attribute any improvement in conduct grades to the new training.

Model	Variables Entered	Variables Removed	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	CLASSO99[c,d]	.	.042	.002	.001	.4064

a. Dependent Variable: CONDCUM3

b. Method: Enter

c. Independent Variables: (Constant), CLASSO99

d. All requested variables entered.

Model		Unstandardized Coefficients B	Unstandardized Coefficients Std. Error	Standardized Coefficients Beta	t	Sig.	95% Confidence Interval for B Lower Bound	95% Confidence Interval for B Upper Bound
1	(Constant)	3.827	.013		297.661	.000	3.802	3.853
	CLASSO99	3.4E-02	018	.042	1.878	.061	-.002	.070

a. Dependent Variable: CONDCUM3

Model	Variables Entered	Variables Removed	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	CLASSO99[c,d]	.	.088	.008	.007	.5432

a. Dependent Variable: COND3_2

b. Method: Enter

c. Independent Variables: (Constant), CLASSO99

d. All requested variables entered.

Model		Unstandardized Coefficients B	Unstandardized Coefficients Std. Error	Standardized Coefficients Beta	t	Sig.	95% Confidence Interval for B Lower Bound	95% Confidence Interval for B Upper Bound
1	(Constant)	3.795	.017		220.805	.000	3.761	3.828
	CLASSO99	9.6E-02	024	.088	3.962	.000	.049	.144

a. Dependent Variable: COND3_2

Figure 6.12: *Study 3 Conduct Regression Analyses*

Model	Variables Entered	Variables Removed	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	CLASSO99[c,d]	.	.158	.025	.025	.6783

a. Dependent Variable: PERFCUM3

b. Method: Enter

c. Independent Variables: (Constant), CLASSO99

d. All requested variables entered.

Model		Unstandardized Coefficients B	Unstandardized Coefficients Std. Error	Standardized Coefficients Beta	t	Sig.	95% Confidence Interval for B Lower Bound	95% Confidence Interval for B Upper Bound
1	(Constant)	3.230	.022		149.688	.000	3.188	3.273
	CLASSO99	-.218	.031	-.158	-7.119	000	-.277	-.158

a. Dependent Variable: PERFCUM3

Model	Variables Entered	Variables Removed	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	CLASSO99[c,d]	.	.136	.018	.018	.7823

a. Dependent Variable: PERF3_2

b. Method: Enter

c. Independent Variables: (Constant), CLASSO99

d. All requested variables entered.

Model		Unstandardized Coefficients B	Unstandardized Coefficients Std. Error	Standardized Coefficients Beta	t	Sig.	95% Confidence Interval for B Lower Bound	95% Confidence Interval for B Upper Bound
1	(Constant)	3.235	.025		129.968	.000	3.186	3.284
	CLASSO99	-.214	.035	-.136	-6.085	000	-.284	-.145

a. Dependent Variable: PERF3_2

Figure 6.13: *Study 3 Performance Regression Analyses*

G. SUMMARY

The goal of any ethics training program is to provide abstract examples that can raise moral awareness and be used to aid in the development of a will to act ethically. The overview to the USNA conduct regulations manual relates that offenses under the conduct system are potential indicators of moral inclinations that are not in accord with either the institutionally established norms of behavior or the professional military standards required of a Naval Academy graduate. The goal of this chapter was to divine significant trends in behavioral indicators, such as conduct and performance grades, and analyze the effects of formal ethics instruction and sub-group membership on changes in these indicators. Ideally, the research would have shown a significant drop in conduct and honor offenses after matriculation in the moral reasoning classes. Also, identification of midshipman sub-groups that are collectively disinclined to behave in accordance with institutional ethics would enable moral instruction that is tailored to the specific moral needs of these midshipmen. However, this identification of misaligned subgroups also becomes open to potential abuse by superiors and peers who may bring unhealthy agendas to the table.

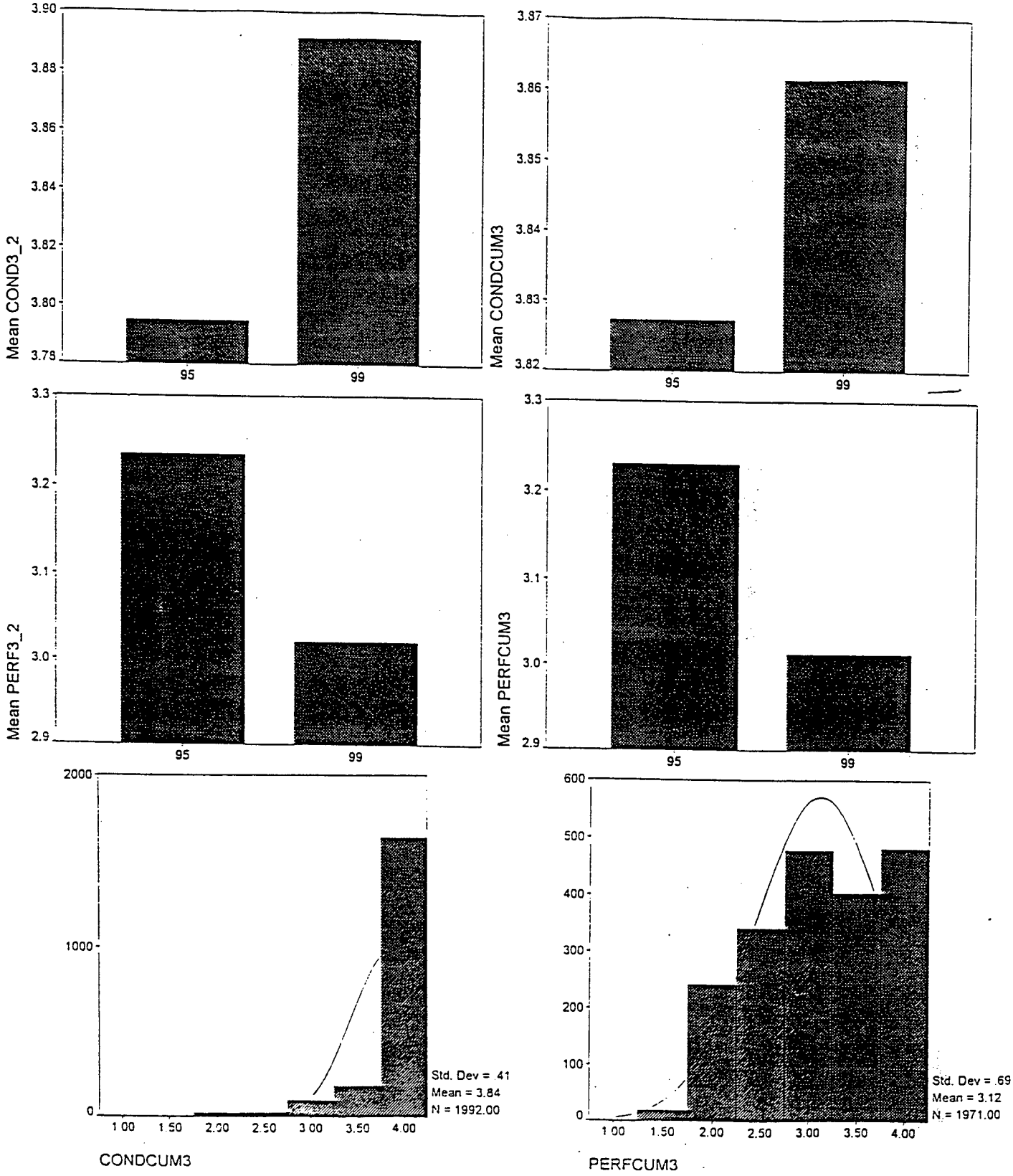


Figure 6.14: *Study 3 Bar Chart Display*

Based on the evidential findings in this chapter, two additional research initiatives could benefit USNA. First, any further quest to determine potential indicators of individual and organizational ethical health must be bolstered by longitudinal extension. Measurement of change needs to begin with a baseline recorded when midshipmen are in the early stages of adult development. Data from the first year of a new training program is not strong enough to predict long-term trends and drive future improvement. Any attribution of the changes in conduct and performance from 1995 to 1999 to the introduction of formal ethics classes is, for the most part, speculative. Second, further studies should take into account the sociological behavior trends of other midshipman groups, such as those who attend religious services regularly, sports team members, and participants in various extracurricular activities. Naval Academy officers and faculty members could potentially utilize data from such studies to effectively focus leadership efforts and attention on midshipmen in statistically risky categories.

The most important contribution of this chapter to the research is to emphasize that present institutional indicators of ethical quality do not adequately display the effects of moral instruction and Character Development efforts at the Naval Academy over the course of four years.

The subtle cognitive changes that occur are more difficult to measure than performance grades, conduct grades, and honor offenses. Major changes in any of these categories could possibly highlight major cultural changes at the Academy. Nonetheless, different indicators of moral quality must be defined and monitored if the effects of moral instruction and Character Development programs are to be fully appreciated.

Although data regarding the ethical tendencies of midshipmen are difficult to measure, this study plainly demonstrated that there are empirical ways to determine behavioral leanings that may support or disprove anecdotal demographic stereotypes. With this foundation, continued institutional tracking of the appropriate statistics could effect improvements in the theoretical and practical ethics instruction processes, both in the classroom and around the Naval Academy complex. This effort would, in turn, effect improvements in the quality of officer developed at Annapolis.

VII. MIDSHIPMAN SURVEY ANALYSIS

A. METHOD

One hundred twenty surveys were distributed to four groups of thirty midshipmen. These midshipmen represented the following core courses from each of the class years: for fourth-class (freshmen or plebes), FP130, U.S. Government and Constitutional Development; for third-class (sophomores), NE203, Moral Reasoning for the Naval Leader; for second-class (juniors), NL303, Applications and Visions for Naval Leadership; and for the first-class (seniors), NL400, Law for the Junior Officer. As discussed in Chapter II, core classes were surveyed because of the excellent cross-representation of midshipman backgrounds and demographics that are available to the researcher in these classes. Courses in specific major tracks do not exhibit the same mix of academic achievement, gender, ethnicity, company, religion, extra-curricular interest, warfare community aspiration, and sports team membership. Information in these areas was requested, not to create some model of a typical unethical midshipman, but to ensure a broad sampling of midshipmen and their characteristic systemic experiences.

Returns were obtained from 79 midshipmen, a

satisfactory rate of 66%. All surveys were read, then coded using SPSS. For purely numerical responses, coding was simple. For qualitative questions, responses were read and logged separately by hand on paper. Then, qualitative categories for groups of common responses were created from the paper notes on SPSS as dichotomous variables. This method will become apparent in the results section below. Finally, surveys were reviewed again and assigned a letter grade (A-F) based on completeness of answers. If a survey had a particularly enlightening response to a certain question, the response number was noted on the cover of the survey. Using this method, open-ended answers that illuminated statistical findings could be quoted. For citation purposes, midshipman surveys were tracked with the letter "M" followed by a number, M1 through M79 for the entire sample.

Variables that were created for specific questions will be discussed in the appropriate section of this chapter. All surveys results were computed using basic statistics functions and simple regressions in Ordinary Least Squares (OLS) mode. The following is a review of variables not directly linked to specific questions that were created for the coding process (See Figure 7.1 for a brief guide and frequency data for the variables):

YEAR: A two-digit numerical variable for Class of

1998 through Class of 2001.

CLASS: The YEAR variable was re-coded into a single digit variable, "1" for first-class through "4" for fourth- class.

MALE: A dichotomous variable, "1" for males, "0" for females.

PREP: A dichotomous variable, "1" for any self-report of college or prep-school attendance prior to arrival at USNA.

PRIOR: A dichotomous variable, "1" for any self-report of service in the enlisted ranks of any of the armed forces prior to arrival at USNA.

AGE: A two-digit numerical variable for age at the time of the survey.

ETHNIC: A one-digit string variable for ethnicity. Response options included Caucasian, African-American, Hispanic, Asian, Native American, Foreign National, and Other.

CAUC: A dichotomous variable re-coded from the ETHNIC variable, with an assigned value of "1" for Caucasian and "0" for all others.

NE203: A dichotomous variable, "1" for having completed the core ethics course, "0" for all others, which in this case would only be plebes. This variable could be

used as a statistical proxy for upperclassmen, since all midshipmen are enrolled in this course immediately after plebe year.

NP ELECT: A dichotomous variable, "1" for any midshipman having completed any elective or ethics course, "0" for all others.

GROUP1: A dichotomous variable created from responses to the "current or intended major" query. The term "intended major" was used for plebes, since they had not yet selected their majors at the time of the survey. Any response of Aerospace Engineering, Electrical Engineering, General Engineering, Marine Engineering, Mechanical Engineering, Naval Architecture, Ocean Engineering, or Systems Engineering received a value of "1". All others were made "0" in this category.

GROUP2: This variable was transformed in the same manner as the GROUP1 variable. GROUP2 responses include Chemistry, Computer Science, General Science, Math, Oceanography, and Physics.

GROUP3: This variable was transformed in the same manner as the GROUP1 and GROUP2 variables. GROUP3 response include Economics, English, History, and Political Science.

CO NAVY: A dichotomous variable, "1" for all midshipmen with Navy company officers, "0" for those with Marine company officers.

CO O3: A dichotomous variable, "1" for all midshipmen with Marine captains or Navy lieutenants for company officers, "0" for those with Marine majors or Navy lieutenant-commanders for company officers.

SS SWO: A dichotomous variable, "1" for all midshipmen who self-report intentions to choose Surface Warfare for service assignment, "0" for midshipmen who self-report intentions to service-select communities other than Surface Warfare. Similar variables were created for those intending to select Submarines, Naval Aviation, Supply, Marine Corps, Special Warfare, and other.

SPORT: A string variable created to record the actual sport a midshipman participates in, with "Intra" entered for non-varsity or club sports.

CLUBATH: A dichotomous variable, "1" for any member of a competitive intercollegiate sports club (such as Rugby, Cycling, Hockey, etc.), "0" for all others.

VARATH: A dichotomous variable, "1" for any member of an NCAA sanctioned intercollegiate sports team, "0" for all others.

REL PREF: A string variable created to record a midshipman's self-reported religious preference.

REL REG: A dichotomous variable, "1" for all midshipmen who reported attending religious services at least once per month, "0" for all others.

REL ECA: A dichotomous variable, "1" for all midshipmen who self-reported membership in a religious extra-curricular activity (such as Navigators, Catholic Midshipmen's Club,etc.), "0" for no religious ECA affiliation. Similar variables were created for midshipmen who reported membership in military ECAs (such as Semper Fidelis Society), athletic ECAs (club sports or recreational clubs such as Scuba Club, Rugby. Orienteering, or Mountaineering), academic ECAs (such as Tau Beta Pi), or community service and ethnic studies (such as Midshipman Action Group, National Eagle Scout Association, Black Studies Club).

B. RESULTS

Below is a compilation of results obtained from the midshipman surveys (See Appendix A for the actual survey). Questions 9, 10, 14, 15, 16, and 26 have been dropped from the analysis because of the high proportion of missing values; many midshipmen did not understand the questions or did not answer them at all.Due to a typographical error, question numbers 14 through 16 (part of section "10" in this analysis) were difficult to understand. Finally, the order of the questions in this section has been rearranged from the original survey so that closely related questions can be more easily linked in the analysis. In the survey, closely

VARIABLE NAME	*DESCRIPTION*
YEAR	Year of graduation, Class of 1998 through 2001
CLASS	1st class (1998) through 4th class (2001)
MALE	"1" for males, "0" for females
PREP	"1" for college or prep school prior to USNA
PRIOR	"1" for any military service prior to USNA
AGE	Age at the time of the survey
ETHNIC	Standard DOD ethnic codes (See Appendix A)
CAUC	"1" for caucasian, "0" for all others
NE203	"1" for enrollment in the core ethics course
NP_ELECT	"1" for enrollment in ethics/philosophy elective
GROUP1, GROUP2, GROUP3	Engineering, science, or humanities majors
CO_NAVY	"1" for Navy company officer, "0" for USMC
CO_03	"1" for USMC O-3 company officer, "0" for O-4.
SS_SWO	Intention to service select Surface Warfare
SS_SUB	Intention to service select Submarines
SS_NVAIR	Intention to service select Aviation
SSUSMC	Intention to service select U. S. Marine Corps
SSSPEC	Intention to service select Special Ops/Warfare
SS_SUP	Intention to service select Supply
SS_OTHER	Intention to service select any other community
VAR_ATH	Member of any NCAA-level athletic squad
CLUB_ATH	Member of any intercollegiate athletic club
SPORT	Actual name of varsity, club, or intramural sport
REL_PREF	Religious preference
REL_REG	"1" for report of worship once monthly or more
REL_ECA	"1" for membership in religiously affiliated ECA

Figure 7.1: *Table of Variables in Midshipman Survey Analysis*

related questions were spread apart from each other as a means of determination for consistency of response.

> **1. How effective do you feel the honor system is in developing moral standards at USNA, very ineffective, slightly ineffective, no effect, slightly effective, or very effective? Explain.**

The numeric variable "Q1" was created for this question. Values ranged from -2 for answers of "very ineffective" to +2 for answers of "very effective". For this question, 77 valid responses were received (See Figure 7.2). The mean answer for the Brigade of Midshipmen was .83, placing it between "no effect" and "slightly effective". Broken down into categories of class, gender, intercollegiate athletic participation (VARATHs or CLUBATHs), and regular worship attendees, the mean response remained within .15 of the Brigade mean in all cases except one. A mean of .5 was obtained for second-class midshipmen, but there were only 10 respondents in this category. Therefore, this outlying score is probably of little consequence to the research. Of particular note is the fact that there were zero responses in the "very ineffective" category for the entire Brigade.

Q1

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	-1.00	10	12.7	13.0	13.0
	.00	9	11.4	11.7	24.7
	1.00	42	53.2	54.5	79.2
	2.00	16	20.3	20.8	100.0
	Total	77	97.5	100.0	
Missing	System Missing	2	2.5		
	Total	2	2.5		
Total		79	100.0		

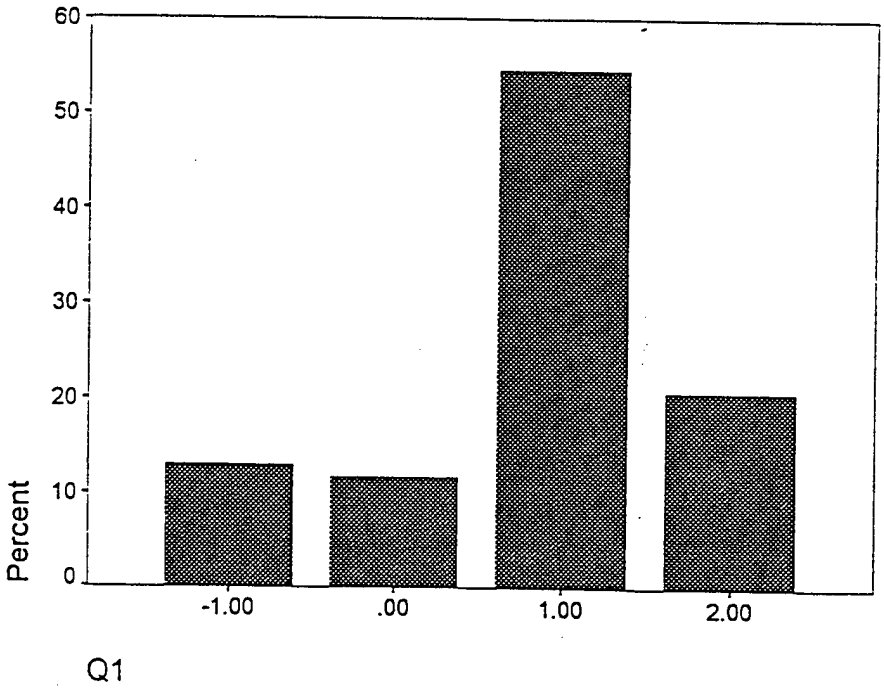


Figure 7.2: *Section 1 Analysis*

The results of this question correspond with studies mentioned in the literature review that report general satisfaction with honor codes at USNA and the nation's other military academies. One midshipman (Male, Class of 1999, # M26), commenting on why he felt the system is only "slightly effective" stated, "People come here with a basis in honor and morality. It is almost impossible to instill in people in 4 years what should have been done for 18 years prior [sic]."

Another midshipman (Male, Class of 2000, # M41) presented a sentiment related to fear of punishment that is very common in many of the questions: "I would have to qualify the 'very effective' with the thought that the honor system makes people think only in terms of consequences, not whether the action is moral or not." This was echoed by a plebe (Male, Class of 2001, # M67) with prior enlisted service who said, "The biggest deterrent [sic] to the honor system working effectively is the view that 'honor upholders are classmate destroyers.'"

2. How would you define "honor violation" in guiding your own behavior or measuring the actions of others?

The intent of this question was to glean a sense of how midshipmen operationalize the published edicts of the honor concept and the honor treatise. No SPSS variables were created for this question, but exceptional responses were

noted when the surveys were read and graded. Most of the definitions offered were framed with respect to the sociological damage the violations cause, primarily in the violator's relationship to the respondent, but in some cases, in the effect of the violator's actions on the group as a whole. For example:

- "An honor violation is when you have betrayed yourself and your morals" (Female, Class of 2001, #M64).
- "A breach of my integrity, especially to avoid 'facing the music'" (Male, Class of 1999, # M24).
- "When a person knowingly deceives another on a subject matter that affects the well being of others" (Female, Class of 2001, # M60).
- "Any breach of trust between individuals for the purpose of self-gain and with serious intent" (Male, Class of 2000, # M41).

Very few of the responses where framed purely from a standpoint of conformity with the mandated principles of the honor concept, as in this case: "A breach of the precepts" (Male, Class of 2000, # M46). The fact that midshipmen cognitively frame definitions of honor violations in terms of damage to relationships will become more obvious in later questions.

3. Which violation of the honor system do you feel is the most contemptible in the judgement of human character, lying, cheating, or stealing? Explain.

Dichotomous variables Q3LIE, Q3CHEAT, Q3STEAL, and Q3COMBO were used to tally responses to this question. The results of this question were varied, and not particularly illuminating in the quest for any type of common outlook. There is some hint of conceptual support of the Malmstrom and Sulero survey regarding self-reported honor violations at the three military academies. This study (See Chapter IV) showed USNA graduates reporting three times more non-academic violations than academic violations. The most common response for the Brigade of Midshipmen was Q3LIE (35%), with Q3STEAL (31%) a close second (See Figure 7.3). With responses broken down by class, academic major, and athletic participation, the results were generally the same, never exceeding 46% for lying. The exception to this was the plebe and Group 3 responses, showing Q3STEAL at the top (43.5% and 45.5% respectively) with Q3LIE near 30%.

Q3CHEAT

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	66	83.5	90.4	90.4
	1.00	7	8.9	9.6	100.0
	Total	73	92.4	100.0	
Missing	System Missing	6	7.6		
	Total	6	7.6		
Total		79	100.0		

Q3COMBO

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	60	75.9	82.2	82.2
	1.00	13	16.5	17.8	100.0
	Total	73	92.4	100.0	
Missing	System Missing	6	7.6		
	Total	6	7.6		
Total		79	100.0		

Q3LIE

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	45	57.0	61.6	61.6
	1.00	28	35.4	38.4	100.0
	Total	73	92.4	100.0	
Missing	System Missing	6	7.6		
	Total	6	7.6		
Total		79	100.0		

Figure 7.3: *Section 3 Analysis*

In the Malmstrom and Sulero study,[259] lying and stealing are treated as non-academic violations. I would posit that the midshipmen become most contemptuous of what they most frequently stand witness to. The plebes have not necessarily had the personal freedom or experience to recognize the prevalence of lying, and are disdainful of what they least believe midshipmen capable of doing, that is, stealing. As one plebe (Male, Class of 2001, # M76) responded, "I think stealing is [the worst] because one can be forced by circumstances here [at USNA] to feel the need to lie and avoid trouble or cheat to avoid academic trouble, but stealing is unnecessary and premeditated." An upperclassman offered a different view point: "Lying [is the worst]--the other two are only more complex forms of lying. Trust is key in a society like the military" (Male, Class of 1999, # M21). My paradigm of greatest aversion to the most familiar offense could be more credibly validated through interviews, but in this research is otherwise based on speculation and personal experience.

4. Have you ever witnessed what could be construed as an honor violation? If yes, did you report it?

For this question, three variables were created: Q4NO, for midshipmen who reported having never seen a violation; Q4YESNO, for midshipmen who reported having witnessed a

[259] Reviewed in Chapter V.

violation without taking action; and Q4YESYES, for midshipmen who reported witnessing a violation and addressing the offense to the point where they felt they had satisfied the edicts of the honor system, be it through informal counseling or through registration of formal charges with the Brigade Honor Committee.

Again, in the Malmstrom and Sulero study, 45% of USNA graduates reported having committed non-academic violations and only 23% reported having committed academic violations. The results of this question in this research reveal that, as a whole, more than 64% of the Brigade have witnessed some form of what they individually consider an honor violation. Yet only 8.9% took action to address the offense properly. When fourth-class midshipmen are removed from the equation, the totals for witnesses and action-takers go up to 75% and 10%. Among Group 3 majors (who, intuitively, may possess the most value relativistic outlook among academic majors, based on their course work), the percentage of witnesses remains at 75%, but *none* reported having confronted the offenders (See Figure 7.4).

The types of responses that are used to justify this situation indicate a lack of trust in the procedural aspects of the system, as well as rationalization to assuage any potential feelings associated with dereliction of one's

moral duty, *even at the fourth-class level*:

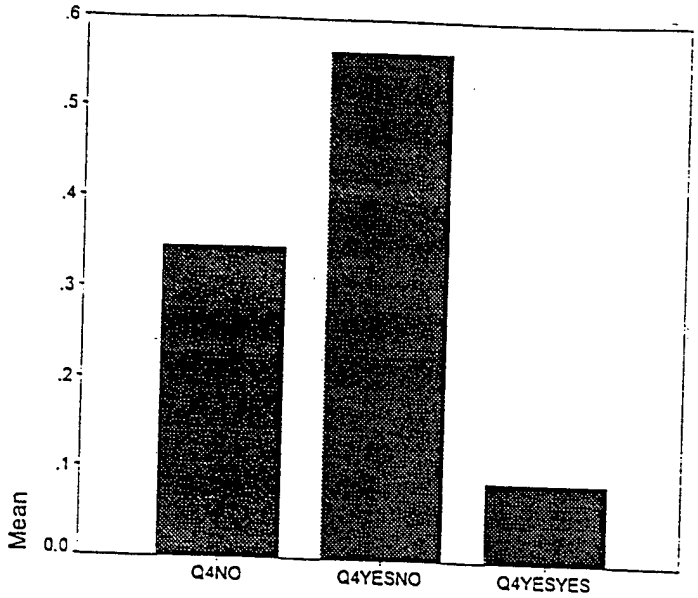
- "Yes; No. I talked to the person. Everyone makes mistakes, but I have NO faith in the system to judge people fairly" (Male, Class of 1999, # M25).
- "Yes. I did not think it merited a report; it was quite harmless and petty. It would only be a violation here [presumably meaning USNA]. . . . Trivial honor offenses cause outrage. We have had quite a few idealistic, silly honor staff in charge, who cannot seemingly grasp human nature and/or what honor is [sic]" (Male, Class of 1999, # M28)
- "The honor board would consider almost anything a lie so yes, I have witnessed them. No, I haven't reported them, I handle them myself" (Female, Class of 2000, # M36).
- "Nearly everyday I see an 'honor violation,' and no, I haven't reported them. I feel they are to [sic] petty of violations to bother the system with" (Male, Class of 2001, # M59).

These indications of mistrust, fear, and disillusionment with the system will be borne out in later questions as well. Interestingly, these indications seem to contrast the blanket claims in the quantitative USNA IRC study regarding

the health of the system. Midshipmen are stating that they believe in the intent of the system but there are problems with the processes.Multiple choice questions do not easily reveal this type of information.

5. What, if any, do you think is the main impediment or resistance to reporting honor violations?

For this question, all answers were read and recorded by hand. Responses were then drawn into common categories, eventually five in all. Dichotomous variables were created for these common response categories. The first, Q5HYPOC, was logged when midshipmen expressed a notion that turning in violators is hypocritical, such as in this reply: "The fact that no one is perfect and it is hypocritical to turn someone in for something you have done" (Female, Class of 1998, # M2). Next, Q5NONE was scored when midshipmen expressed that there is, or should be, no impediment to reporting violations. Q5TRIVIA responses stated that most violations were inconsequential, as in this case: "Most do not need to be reported" (Male, Class of 2000, # M40). Q5PUNISH was used when respondents indicated an aversion to the potentially stiff punishment allotted to violators, or as this male third-class midshipman (# M35) related, "The honor violations are often too small of a deal (i.e., getting help with homework) to risk getting someone kicked out. People are afraid of a case being blown out of



Q4NO

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	51	64.6	65.4	65.4
	1.00	27	34.2	34.6	100.0
	Total	78	98.7	100.0	
Missing	System Missing	1	1.3		
	Total	1	1.3		
Total		79	100.0		

Q4YESYES

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	71	89.9	91.0	91.0
	1.00	7	8.9	9.0	100.0
	Total	78	98.7	100.0	
Missing	System Missing	1	1.3		
	Total	1	1.3		
Total		79	100.0		

Q4YESNO

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	34	43.0	43.6	43.6
	1.00	44	55.7	56.4	100.0
	Total	78	98.7	100.0	
Missing	System Missing	1	1.3		
	Total	1	1.3		
Total		79	100.0		

Figure 7.4: *Section 4 Analysis*

proportion [sic]." Finally, Q5LOYAL was assigned to response of classmate loyalty or peer pressure. When two responses were given, both were recorded. This was in no way intended to inflate the statistical significance of any one category. It was merely intended to account for the number of midshipmen who, either partially or completely, express any example of the specific reasons harvested from the surveys. The evidence showed what was already intuitively anticipated; nearly 60% of midshipmen express classmate loyalty or peer pressure as the main impediment to adjudication of honor violations in strict accordance with the honor system. For plebes, the classmate loyalty response climbed into the high eighties. For the Brigade as a whole, fear of punishment was the second most contributing factor at 35%. Almost one-third of the respondents reported triviality, seemingly a rationalization for inaction, as a contributor to non-reporting of violations. Q5HYPOC and Q5NONE were each indicated in fewer than 5% of the surveys (See Figure 7.5).

6. Have you ever been involved in an act at USNA that you realize now could have been construed as honorably questionable? If yes, explain. How do you feel about the incident now?

For these questions, dichotomous variables Q6YES and Q7REGRET were created. The Q6YES variable received a value of "1" for midshipmen who responded that they had been

involved in "honorably questionable" incidents. Again, an opinion of the moral quality of the incident was solicited from the midshipman's perceptual voice, not from the legalistic voice of whether the incident empirically violated specific tenets of the honor concept. The Q7REGRET variable received a value of "1" for those who answered yes to the first question and expressed some level of remorse or penitence in the second answer.

Of all the midshipmen surveyed, 33 (or 41.8%) answered that they had been involved in some act that they later realized could be construed as honorably questionable. Of those that answered yes, 48.5% expressed some form of regret or realization that what they had done was wrong. Some examples of those who expressed regret:

- "Yes, I've said some things on occasion that were not wholly truthful. I regret it, and have learned from it" (Male, Class of 1999, # M23).
- "Yes, as a plebe, being questioned by an upperclass, I made up a line of trash to have something to answer him. I lied. [I felt] pretty bad. Under pressure, I wasn't able to do the right thing in that case" (Male, Class of 2000, # M50).

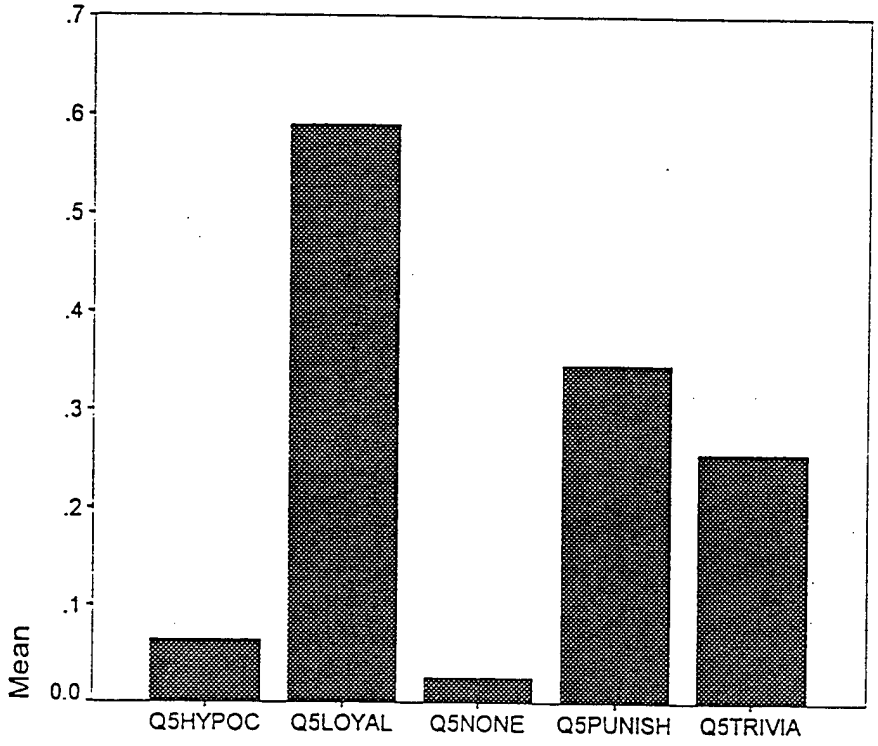


Figure 7.5: *Section 5 Analysis*

- "Yes, [I lied] on Ac Tracking. It was because I hadn't kept up over the week and filled it in. I'm still not sure if it was right or not but I felt like I had lied" (Male, Class of 2000, # M40).

Some examples of midshipmen who received "0" values for Q7REGRET due to rationalization of a violation's root causes:

- "Yes, I've looked at other's homework or asked about what is on a test. I would do it again. There is no room for failure here, so you do what you can to get by" (Male, Class of 1999, # M25).
- "If I'm sick, but not in the 'dying' status you need to get SIR, then I'll maybe embellish the symptoms a little more. If I can't go to class due to illness, but the Academy doesn't trust my judgement as to whether or not I can go, then I guess I feel justified in doing what I did [sic]" (Female, Class of 2000, # M39).
- "Yes, lots of things that very technically could be 'honor violations' but are everyday occurrences here. [I] forgot what most of them were about due to insignificance [sic]" (Male, Class of 2001, # M68).
- "Yes, I have lied before, but it was something

very petty. I don't [think about the incident]. I was a plebe and said I showed when I didn't. I do not lose sleep over it" (Male, Class of 1999, # M28).

A linear regression was then conducted using SPSS to see the influence of being a member of different groups on self-reporting honor violations. Independent variables used in the initial specifications were MALE, CAUC, CLUBATH, VARATH, PREP, PRIOR, GROUP3, NE203, NP_ELECT, AC_ECA, MIL_ECA, REL_ECA, REL_REG, CO_O3, CO_NAVY, SS_NVAIR, SSSPECW, and SSUSMC. Variables that yielded significance less than .2 were removed in repeat regressions. In the final regression, only company officer service, ethics course participation, prior enlisted military service, aspirations to Special Warfare, and varsity athletics participation showed influence on the tendency to provide an affirmative answer. The relation of these variables to answers on a question surveying occurrence of non-compliance with the honor concept are as follows: CO_NAVY (.27 points higher, .07 significance); NE_203 (.35 points higher, .001 significance); PRIOR (.34 points higher, .05 significance); SSSPECW (.37 points higher, .17 significance); and VARATH (.22 points higher, .11 significance). Regular attendance of religious services (REL_REG) scored .15 points lower on self-reporting violations in the initial specification, but

was removed when significance fell below .2 in the final regresion. It is important to note that these are not indications of group tendency to commit honor violations, only tendency to admit to having committed an offense that is self-perceived as honorably questionable. These results say nothing for those who simply lied on this survey. Since the previous question showed rates as high as 75% for witnessing a violation, there is probably a considerable percentage of midshipmen who remained silent declined to admit a violation, unless many people are witnessing the same violation. Also, the NE203 variable parallels indications of upperclassmen, since the course is a core course taken immediately after plebe year.

7. What keeps your actions in accord with the honor and conduct systems (e.g., the lessons you've received in formal training, peer pressure, the fear of getting caught and separated, the internal good feeling you derive from your personal standards of behavior, etc.)?

This question was intended to determine how midshipmen express their personal reasons for following the dictates of the conduct and honor systems. Two dichotomous variables were created, Q8INT and Q8EXT. The first variable received a value of "1" if midshipmen expressed an intrinsic motivation for following the academy's rules.

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	95% Confidence Interval for B	
		B	Std. Error	Beta			Lower Bound	Upper Bound
1	(Constant)	-2.8E-02	.198		-.143	.887	-.423	.367
	CO_NAVY	.270	.147	.214	1.832	.072	-.024	.564
	NE203	.346	.128	.311	2.700	.009	.090	.602
	PRIOR	.340	.170	.226	2.004	.049	.001	.680
	REL_REG	-.147	.119	-.136	-1.232	.222	-.386	.091
	SSSPECW	.371	.240	.171	1.547	.127	-.108	.851
	VARATH	.220	.135	.195	1.627	.108	-.050	.490

a. Dependent Variable: Q6YES

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	95% Confidence Interval for B	
		B	Std. Error	Beta			Lower Bound	Upper Bound
1	(Constant)	-6.8E-02	.185		-.368	.714	-.437	.301
	CO_NAVY	.220	.147	.173	1.493	.140	-.074	.513
	NE203	.309	.128	.276	2.411	.019	.053	.564
	PRIOR	.367	.171	.242	2.145	.036	.026	.709
	SSSPECW	.380	.243	.173	1.565	.122	-.104	.864
	VARATH	.168	.132	.150	1.270	.208	-.096	.432

a. Dependent Variable: Q6YES

Figure 7.6: *Section 6 Analysis*

For example, "My own personal morals, there is no outside body that forces me to be honorable," (Male, Class of 2001, # M72) or "The Ten Commandments" (Female, Class of 1998, # M8). Q8EXT was tallied when more extrinsic motivations were cited. For instance, "Fear more than the others," (Male, Class of 2001) and "Fear of getting caught or separated" (Male, Class of 2001). If a response stated that the motivation was a combination of intrinsic and extrinsic stimuli, both variables received a " 1". More than 80% of midshipmen respondents stated that intrinsic motivations kept their actions in accord with the honor and conduct systems. Conversely, 41% of the respondents cited extrinsic motivations as part or all of the reason they follow the academy's directives. One-third of all respondents cited these reasons in combination with each other. It is encouraging that this many midshipmen support the precepts of the honor concept for reasons other than fear or "graduation" (Male, Class of 1998, # M18). This evidence supports a preeminent organizational drive to cognitively transform a midshipman's moral competence beyond the minimums of socialization and compliance with regulatory structures.

8. What pressures, if any, do you feel contribute to the commission of honor violations?

Answers to this question were categorized using the

same method as the question in section "5". After reviewing all the surveys, seven common responses were decided upon with the following resultant variables: Q11ACAD, meaning academic specific pressure; Q11COND, meaning to avoid conduct trouble; Q11GRAD, the pressure of the entire academy system in general, leading to fear of separation and an attitude of graduation "by any means necessary"; Q11LAZY, for midshipmen who find it easier to lie and cheat than to work hard and perform well through more honest means; Q11PEER, meaning pressure from peer groups to commit violations; Q11TIME, the high work load in relation to the limited amount of time available to complete it; Q11NONE, for responses that related there is no acceptable, legitimate pressure to commit violations. Missing values were assigned for the five cases where no response was given or the response could not be understood, such as, "Ephesians 6:12" (Male, Class of 1998, # M14). As in section "5", when more than one reason was given, each reason was tallied. Thus, the number of responses exceeds the number of respondents. It is understood that some of the reported reasons influence each other or are very close in meaning. Nevertheless, these are the phrases that midshipmen typically used to express their idea of catalysts for dishonorable behavior. With the fact that large numbers of midshipmen self-report witnessing or participating in

violations, it is assumed that some of these listed reasons have an autobiographical undertone to them.

The frequencies were checked for the Brigade as a whole, then broken down for upperclass, plebes, and intercollegiate athletes. Athletic participation and class totals did not differ significantly from the Brigade averages. One third of the Brigade responses fit into the Q11GRAD category. Another quarter of the sample group mentioned academic pressure (Q11ACAD), pressure to avoid conduct trouble (Q11COND), and peer pressure (Q11PEER) as contributing factors. Q11LAZY and Q11TIME responses both scored on roughly 15% of the returns. None (Q11NONE) was given on 11% of the surveys (See Figure 7.7).

The high Q11GRAD total corresponds to the three-to-one ratio of non-academic to academic offenses. The pressure at the academy emerges not just from the course load but from the responsibilities outside the classroom that compete for space in the daily routine. Pressure from parents was also mentioned in several surveys as a source for other contributing pressures such as academic or graduation. For example, "Time pressure, family pressure (to do well)" (Male, Class of 2001, # M63) would be tallied as Q11TIME and Q11GRAD.

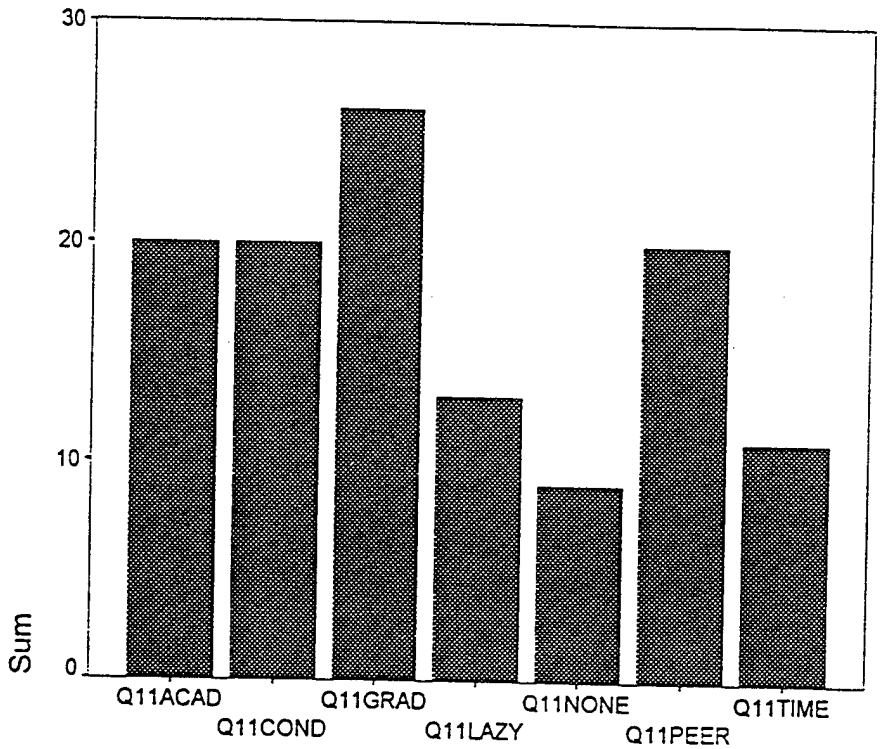


Figure 7.7: *Section 8 Analysis*

Some other examples are:

- Q11TIME: "Time pressures seem to be the most common" (Male, Class of 1998, # M17).
- Q11LAZY: "Many people don't want to be bothered with choosing the hard right. They'd rather be lazy and choose the easy wrong" (Male, Class of 1999, # M23).
- Q11ACAD: "Many people are probably pressured to cheat because of how much emphasis and weight grades have. Your grades can decide your career [sic]" (Male, Class of 2000, # M56).
- Q11PEER: "Shipmate loyalty and peer pressure is the biggest [sic]" (Male, Class of 2001, # M59).

9. Which statement do you feel is more accurate, and why: a) the commission of an honor offense condemns the credibility or reliability of a person's character, or b) each moral action involves an independent, unpatterned system of decision making?

As mentioned in Chapter V, the Naval Academy has started using honor remediation as a means of returning honor violators to the Brigade, if they are conscientious about their error and have good potential for future military service. This is a break from the past tradition where all offenders were separated from the Naval Academy. At all the academies, honor violators were traditionally unwelcome and believed to be of character that was beyond rehabilitation. However, it became apparent to politicians

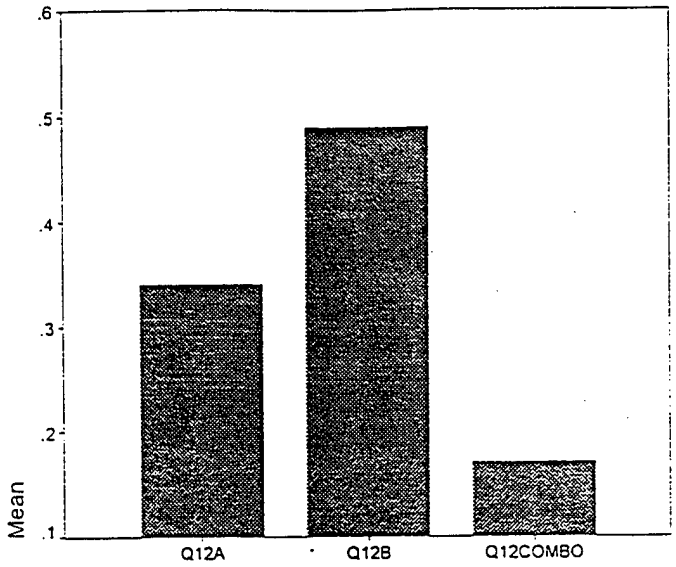
and senior officials that this system of "all or none" punishment was contributing to cadet and midshipman unwillingness to confront violators. This survey question was intended to divine an image of how the Brigade of Midshipmen collectively feels about this new program. Two dichotomous response variables, Q12A and Q12B, were created to match the options provided in the original question. A typical Q12A response was, "If someone lies to me I am not going to be able to trust them easily for a while" (Female, Class of 2000, # M57). A common type of response scored as Q12B was, "People have the ability to remediate their bad decisions and therefore I don't think they can be condemned for one bad choice" (Male, Class of 2000, # M49). Q12COMBO was used for combination answers or any response that indicated contextual limitations such as, "Both are accurate; it's hard to trust someone after they lie. However, sometimes decisions are made hastily and the person didn't mean to lie" (Male, Class of 2000, # M40).

A slim majority of the Brigade responses showed support for the redemptive potential of honor violators, choosing the Q12B option (40.5%) or the Q12COMBO option (11.4%). Only 43% took the hard-line option of Q12A. For third and fourth-class midshipmen, the two classes for whom remediation has always been present, the hardline response rate falls below 33% (See Figure 7.8). This evidence seems to be a vote of confidence for the remediation program.

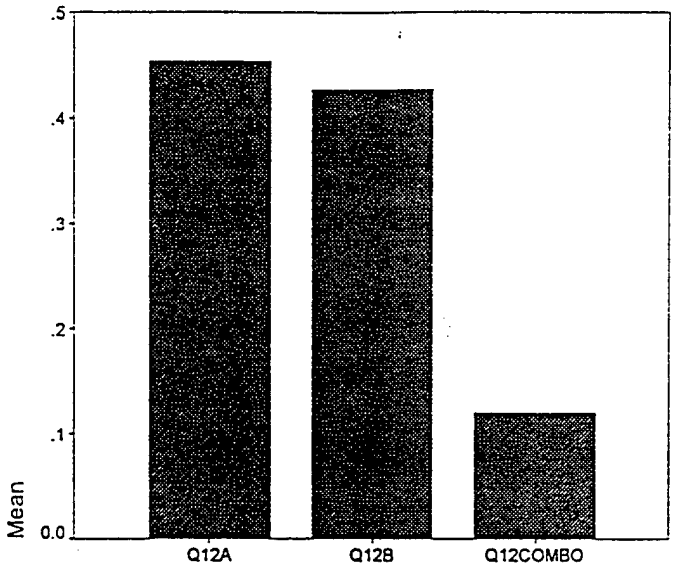
Because the program is so new, the cultural shift that would have been required to bring about this rapid change in organizational predilection is noteworthy. Given the responses to this and previous questions, midshipmen exhibit an astute awareness and sympathy for the pressures faced by every member of the Brigade as developing adults in a challenging organization.

10. Is evasive answering of questions or rationalization for self-preservation the same as lying?

This question is relevant for several reasons. First, evasive answering that becomes lying is the most insidious offense under the honor concept, more uncertain and normally with less premeditation than cheating or stealing. Second, midshipmen statistically express the most aversion (See section "3") to lying. This, in conjunction with the statistical prevalence of non-academic violations and anecdotal evidence from Bancroft Hall, creates an image of lying or evasive answering as a common problem. This problem probably originates from a "self-preservation" instinct, a product of the academy lifestyle and culture that keeps midshipman actions fearful of the gaze of continuous inspection and observation. The ceaseless oversight of midshipmen, coupled with the linkage between performance and privilege, certainly creates an inducement for unreasoned lies under pressure.



Brigade



Third and Fourth Class

Figure 7.8: *Section 9 Analysis*

The variables Q13YES, Q13NO, and Q13MAYBE were created in the coding procedures for this question. The first two, as in other questions, indicate midshipman agreement or disagreement, respectively, with the proposition that evasive answering is the same as lying. The last variable indicates a situational determinant in the respondent's treatment of evasive answering. Of the 70 valid response obtained, 46.8% replied that evasive answering is the same as lying, with a further 25.3% answering maybe and only 19% in the negative category. Some common replies that fit into the three different categories:

- "Everyone should answer questions honestly and not try to squeeze out of a situation and then search for excuses later. Evasive answering is a cop-out" (Female, Class of 1998, # M10).
- "[Evasive answers] are not lies because they do not involve intent" (Male, Class of 2001, # M73).
- "Not really, as long as the person realizes and corrects the situation later" (Male, Class of 2000, # M40).
- "This depends on the situation, however, there is no reason to incriminate yourself" (Male, Class of 1998, # M30).

Incidentally, although questions 14 through 16 were dropped from the analysis, surveys that were corrected

yielded 30 valid responses from question 14, with 28 valid responses obtained from question 15. This means that approximately 80% of respondents to the corrected surveys felt evasive answering was a common problem in the hall, and they themselves had used it in practice at least once. Although the typographical error and low return rates on these questions probably undermine any statistical significance, it is an informative and interesting commentary on the occurrence of lying within the Brigade.

11. Is the publication of conduct regulations essential to guiding your daily behavior, both on and off the Yard? Do you find it easier, in avoiding conduct trouble, to follow the subtleties of the conduct system or your pre-existing behavioral standards and instincts?

As mentioned in Chapter VI, the Administrative Conduct Manual of the United States Naval Academy is published as a guide to "avoid conduct that might reflect discredit on the Brigade of Midshipmen, the Naval Academy, and/or the Navy, . . . or indicates questionable personal morals." Kohlberg's early arguments debated the origins of moral behavior, either as adaptation to the dictates of social structure or as cognitive development of a sense of social and relational justice. This survey question was partially intended as an academy-specific litmus test of Kohlberg's main arguments. Also, there is common sentiment in Bancroft Hall that most

midshipmen know how to behave morally without the burden of innumerable rules. This question was not intended as a critique of the conduct system, only as a review of midshipman attitudes on their operational employment of the regulations.

For responses that indicated midshipmen follow their own personal moral leanings without deference to the conduct regulations, the dichotomous variable Q20SELF received a value of "1". Of the 70 valid responses that were obtained, 75.7% fell into the Q20SELF category. This average changed to 66% for upperclass and 77% for plebes. For example:

- "It's easier for me to follow the standards my folks instilled in me, but I understand the necessity of the written out stuff [sic]. My personal standards would be the same regardless of written rules" (Male, Class of 2001, # M76).
- "I act about the same with or without the conduct system--the only difference is wearing a uniform or civvies [sic]" (Male, Class of 2000, # M31).
- "You can get fried for anything. The only way to feel good is to base your behavior on your own standards and not the rules" (Male, Class of 2000, # M33).
- "I find that common sense prevails in most cases (even at the Naval Academy)" (Male, Class of 1999,

M27).

- "I try to let my morals and judgement guide my decisions" (Male, Class of 1998, # M18).

Less than a quarter of the midshipman said they do use the conduct system as a guide for their behavior:

- "[The conduct system] because what [I] may consider O.K. might be different here" (Male, Class of 2000, # M43).
- "[The conduct system] provides a path with which to walk on [sic]" (Male, Class of 2001, # M58).

12. Do you think the conduct system provides a good guide for moral behavior? Explain.

This question served as a cross-check to the answers provided to the questions in section "11". The two questions were not co-located in the original survey. Q27NO was the variable created to serve all negative answers to the question. In theory, Q27NO values of "1" should correspond to Q27SELF values of "1".

Brigade response to this question showed 66% of the midshipmen feel the conduct system is not a good guide for moral behavior. This is a drop from the 75% who answered similarly in the previous section. Returns for upperclassmen were virtually unchanged from the Brigade total of 66%. Plebe totals dropped to 50%, showing that more plebes feel the conduct system is easily used as a map

for ethical behavior. Except for the plebe totals, these numbers roughly validate the awareness and truthfulness of responses to the question in section "11".

13. The academy is moving to an "Ethics Across the Curriculum" program. Is ethical behavior made a top priority in all areas of the Yard (i.e., athletics, academics, sponsors, the hall, etc.)? Which areas are ahead or behind where you think is acceptable for the development of midshipmen?

As referenced in Chapter V, the Naval Academy's ethics continuum, also known as "Ethics Across the Curriculum" (EATC), was created as the foundation for the drive to integrate ethical components and implications into all midshipman endeavors, be it academic courses, physical education, or on liberty. As in other sections, this question was not designed as an empirical appraisal of the ethics continuum. Instead, the twofold intention was to determine the level of awareness with regards to EATC, as well as the attitudes on the program among those who were functionally aware of its precepts.

Common responses were once again tallied on paper before variables were created on SPSS for those categories. In all, six common responses were coded. Q11ALLOK was used for perceptions that the continuum was working well in all areas. Q21ATH was tallied for responses indicating a perception that athletic teams were behind in the EATC push. Q21CIVFA was scored for cases relating to civilian faculty.

Q21HALL was used for responses highlighting weakness among midshipmen as a group or in Bancroft Hall. Q21HOLLO was used when midshipmen expressed a lack of faith in the how the continuum is treated by the administration in general or in a large segment of the academy's upper hierarchical structure. Q21SPONS was scored for responses relating to the sponsor program. Some responses scored in more than one category. Some examples are:

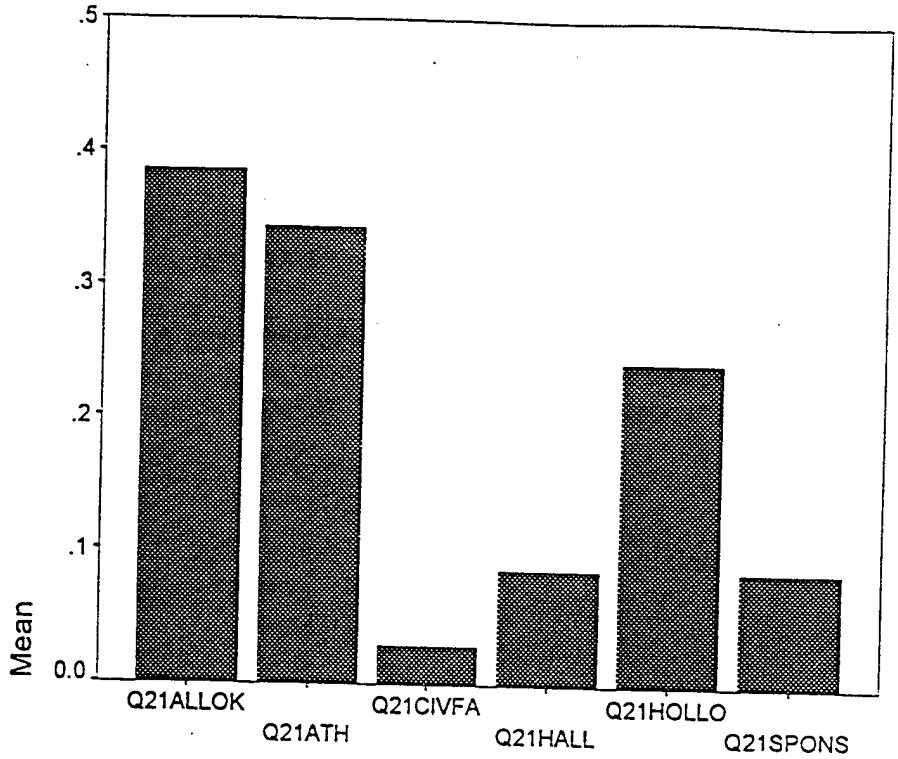
- Q21SPONS: "I think they are all on the even keel, but how can you make sponsors more ethical? Who is to say they are or are not?" (Male, Class of 1999, M26).
- Q21HOLLO and Q21ATH: "Military activities are way too extreme. Athletics are indifferent and even negative" (Male, Class of 2000, # M55).
- Q21ALLOK: "I think all the areas are good" (Male, Class of 1998, # M30).
- Q21HOLLO: "Ethics training has caused the unforseen side effect of causing friction between Midshipmen and faculty. In other words, mids can tell when their leaders fail to 'walk the talk.' This is how 'cynicism' problems arise" (Male, Class of 1999, # M27).
- Q21HALL: "Ethics are not tops in the hall. I think that midshipmen are for the most part too

inexperienced to be good examples of proven ethical behavior" (Male, Class of 1999, # M29).

- Q21ATH: "I think athletics is behind. My coach has made some very poor decisions that are discouraging for the team to see" (Female, Class of 1998, # M10).

Of 79 respondents to the survey, 11.4% could not relate any knowledge of the continuum. Almost 35% indicated that they felt the entire system was working satisfactorily, with 30% scoring in the Q21ATH category. Q21HOLLO answers were recognized in 21.5% of the returns. Sponsors and Bancroft Hall were found in roughly 7% of the responses. Q21CIVFA was cited on only 2 (2.5%) responses (See Figure 7.9).

The Q21ATH responses are not surprising, since the midshipmens' stereotypical perceptions of athletes and the system they operate under at the academy is somewhat negative. It is encouraging that the highest single-group percentage of respondents believe the EATC program is working satisfactorily in all areas. Nevertheless, these results are neither a commendation nor an condemnation of any one area. They merely serve as an indicator of perceptions and attitudes expressed within the Brigade which may be worth addressing.



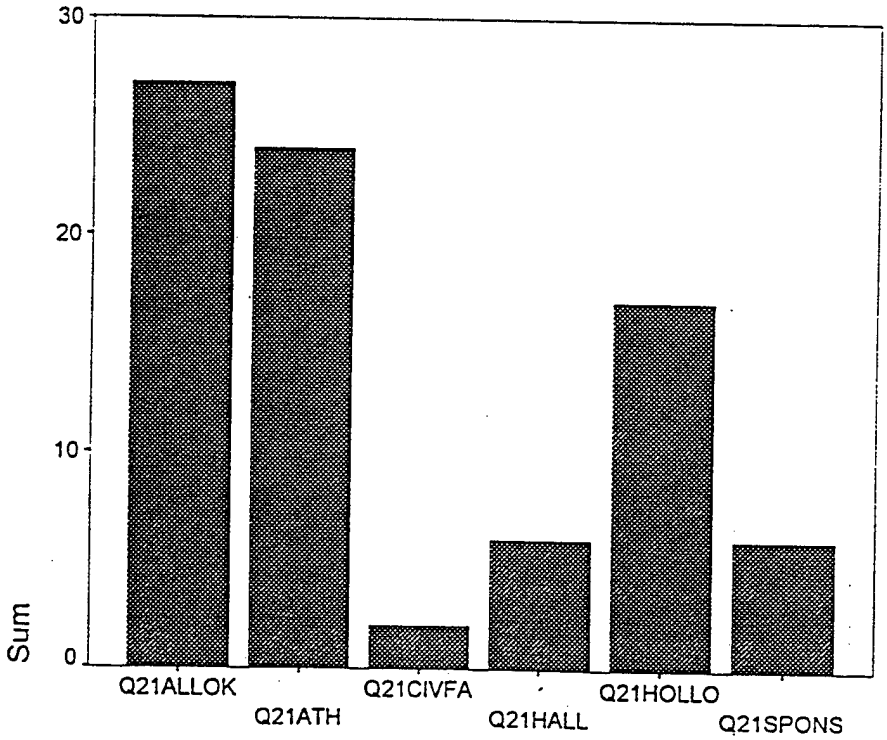


Figure 7.9: *Section 13 Analysis*

14. What are the lessons that stand out in guiding your actions from formal ethics or philosophy instruction you have received at USNA?

Responses from fourth-class midshipmen were dropped from the analysis as they had not yet participated in the core NE203 course. The numerical string variable Q22ETH was created as a three-level measure: "0" was scored for midshipmen who responded "none" or did not offer any answer at all; "1" was scored for midshipmen who recalled any moral lesson from their training at USNA; "2" was scored for midshipmen who recalled lessons specific to the NE203 course. Returns were obtained from 56 first-, second-, and third-class midshipmen, 37.5% of whom scored in both the "0" and the "2" categories. The remaining 25% related lessons not specific to the NE203 course (See Figure 7.11). It is important to note that all three upper classes surveyed have now participated in the new NE203 program. A few illustrative examples of the types of responses to this question are:

- Q22ETH=2: "History of philosophy and ethics" (Male, Class of 1998, # M5).
- Q22ETH=1: "Seeing other people make mistakes is really effective in preventing others from making mistakes. Seeing the positive influence of good officers is also very effective" (Female, Class of

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.00	21	26.6	37.5	37.5
	1.00	14	17.7	25.0	62.5
	2.00	21	26.6	37.5	100.0
	Total	56	70:9	100.0	
Missing	System Missing	23	29.1		
	Total	23	29.1		
Total		79	100.0		

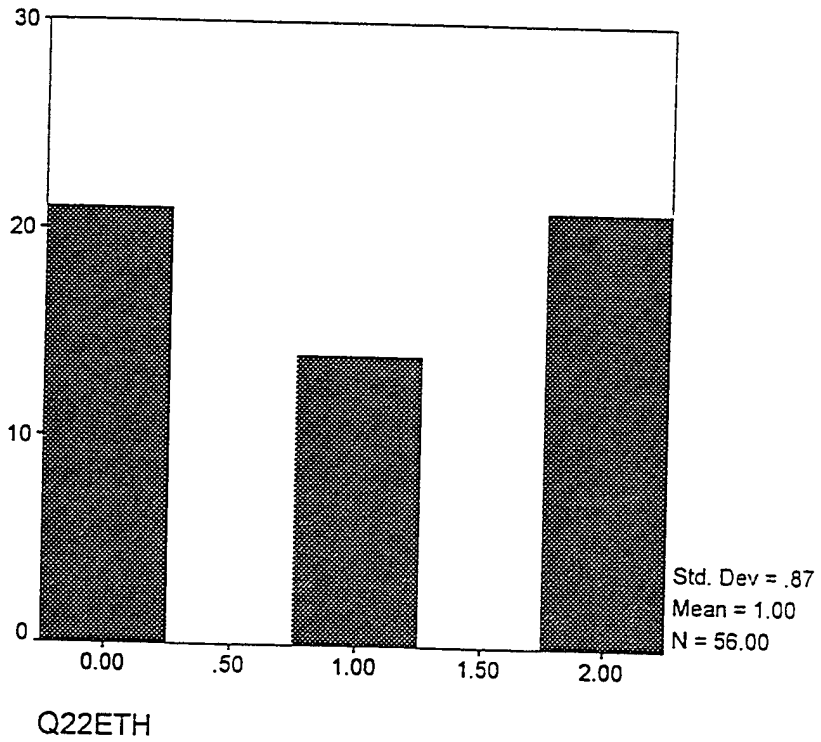


Figure 7.10: *Section 14 Analysis*

1998, # M10).

- Q22ETH=1: "Looking into the eyes of my subordinates and seeing that they expect a moral example from serves as a daily 'wake-up call'" (Male, Class of 1999, # M27).
- Q22ETH=2: "Stoicism" (Male, Class of 1999, # M28).
- Q22ETH=2: "Kant and the Categorical Imperative" (Male, Class of 1999, # M29).
- Q22ETH=0: "None in particular" (Male, Class of 2000, # M42).

For most midshipmen, NE203 is vastly different from any other academic endeavor they have previously undertaken because of the somewhat abstract philosophical concepts presented in the course. Two-thirds of the midshipman population has a science or technical major, so the analytical and critical thinking requirements in philosophy are diametrically different from the majority of their other courses. This is one possible underlying reason for the inability to recall lessons from the core course. Another reason for the low recall is that the heavy class load at USNA does not provide much time for reflective contemplation of philosophical concepts. Nevertheless, if the class were to have lasting effects on a large proportion of the Brigade, a larger percentage of midshipmen than one-quarter would hopefully be able to recount the lessons from this

course. This need for lasting impact is even more the case when one considers the importance that is publicly tagged to ethics education and character development programs at the Naval Academy. With the broad variety of ethics theories that are presented in NE203, there has to be at least one lesson that is appealling to, and can be cognitively assimilated by, every midshipman.

15. How effective is IDS in continuously reinforcing your system of moral reason/action: very ineffective, slightly ineffective, no effect, slightly effective, or very effective? Explain.

This question was scored in a fashion similar to the question in section "1", with response values ranging from -2 to 2. The average value for Q1 across the Brigade was -.44. For first through fourth class these mean scores changed to -.29, -.1, .-96, and -.009, respectively (See Figure 7.12). The small number of responses from second-class midshipmen detracts from the significance of that score. The lowest score was obtained from third-class midshipmen, of whom 45% (12) gave the IDS program a mark of very ineffective and none gave a score to very effective.

The total for the Brigade, lying between no effect and slightly ineffective, stands in slight contrast to the most recent results available from Character Development Division. As discussed in Chapter V, midshipmen complete critiques following each IDS session. The quantitative and

qualitative responses are then compiled and reviewed by the Character Development chain-of-command. The qualitative question, "Did the discussion exercise your moral reasoning?" is presented with 5 scaled options, as in the survey from this research, but ranging from Agree to Disagree. Transposing the most recent IDS results from the entire Brigade (not just the present sample group) reveals a score that would equate to +.05 on the scale used in this research. The difference ranges from 18% worse, for third-class midshipmen, to 7% worse for the entire Brigade, and increasing to only slightly less than 1% worse for fourth-class midshipmen. Overall, the IDS critique indicates slightly more favorable midshipman response, but not significant enough to show inconsistencies in the critique methodology. Likewise, the Character Development Division survey also compiles all open-ended responses, both positive and negative.

Of further note is the information captured graphically in Figure 7.11 that is not necessarily emphasized in straight calculation of an average score. The histogram in this figure illustrates the high number of -2 responses. Although the mean for the Brigade is reasonably acceptable at a level of -.4, the high number of -2 responses is offset by a high number of +1 responses. Although this offset

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	-2.00	25	31.6	33.3	33.3
	-1.00	10	12.7	13.3	46.7
	.00	14	17.7	18.7	65.3
	1.00	25	31.6	33.3	98.7
	2.00	1	1.3	1.3	100.0
	Total	75	94.9	100.0	
Missing	System Missing	4	5.1		
	Total	4	5.1		
Total		79	100.0		

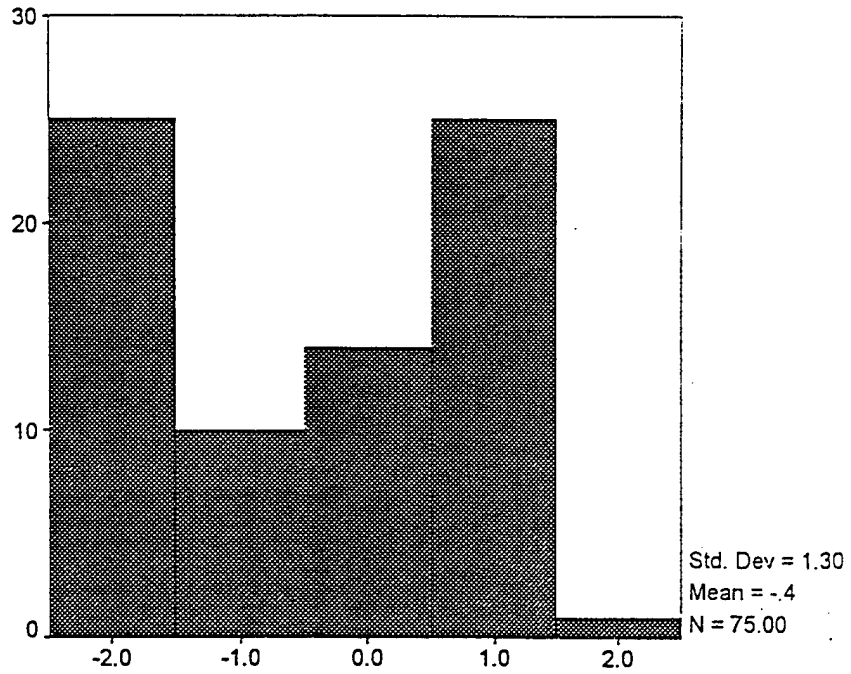


Figure 7.11: *Section 15 Analysis*

balances the mean, one-third of all midshipmen are still expressing the most extreme possible disapproval with the IDS program. In defense of the Character Development Division's monthly IDS assessment, results are also graphically displayed in bar graph format in the compilation of feedback. As indicated by Figure 7.12, the disparity in Character Development survey answers are not as great visually as in this survey. Nevertheless, readings have recently been simplified and made more practical for the coming semester by the Character Development Division. Major changes to IDS include the use of movies for two of the sessions and increased emphasis on relevant, practical case studies, as opposed to philosophical theory. These changes were made in response to negative feedback from the midshipmen and facilitators involved in IDS. Also, concerted attempts to standardize the efforts of all facilitators are being made that may also yield improvements in midshipman opinion of the seminars.

Some typical responses were:

- "Very ineffective. IDS is not helpful. It is a collection of people arguing over a pointed story. Then at the end we're told what we just learned. I don't think that's how you learn" (Male, Class of 1998, # M16).
- "Very ineffective. Few midshipmen care or

participate. Topics have little importance to us, or are so abstract there is little real influence" (Male, Class of 1998, # M17).

- "Slightly effective. Sometimes makes me think of things from a different perspective or see other's views and question why I believe the things I do" (Female, Class of 1999, # M22)
- "Slightly ineffective. It seems to be going over the same things again and again" (Male, Class of 2001, # M71).

16. Thinking back on leaders you've encountered at USNA (plebe detailers, company officers, instructors, coaches, etc.), have you acquired a system of moral reasoning and actions from their example? How do peer, sports, or ECA groups affect this collection of tendencies?

The phrase "leadership by example" is axiomatic in military settings, and in pursuit of this, the Naval Academy has traditionally sought the highest quality officers to train midshipmen, albeit with varying levels of success. Additionally, the influence of peer groups on developing adults is assumed to be considerable in many cases. Both superiors and peers have also been cited in a pejorative sense when systemic influences on midshipmen behavior and development are discussed. The intent of this question was to ascertain the roles that midshipmen believe these two groups play in their moral development. Some responses

showed a perceived impact by superiors, positive or negative, such as, "Yes, I'm a firm believer in lead by example, and I have witnessed many who were, in my opinion, good leaders and many who aren't [sic]" (Male, Class of 2000, # M40). These scored a "1" for the variable Q17YES. Opposing responses, such as, "No, my system was constructed a long time ago; if you don't have one by the time you get here, you're in trouble" (Male, Class of 1999, # M20) scored a "0". The same method was used with the variable Q18INF concerning peer groups. Responses showing an influence, such as, "Sports and ECA's definitely affect these tendencies. You find yourself thinking the same as the rest of the group" (Male, Class of 2001, # M65) earned a "1". A "0" was earned by contrasting responses like, "I don't think you can target any group, these actions are on individual basis" (Female, Class of 2001, # M60).

Of 74 valid responses, 51.9% of the midshipmen surveyed credited superiors with some influence on their personal moral structures. By class, these responses ranged from 40% for first- class to 68% for fourth-class. It is interesting that this total decreases as time spent at the academy increases, the number of personal military contacts increases, and commissioning looms closer. In theory, one would hope that the influence increases as graduation approaches, but it is understood that the nature of the

plebe year regimen is more conducive to drawing significant impact from senior-subordinate relationship. In the second half of the question, 62% of valid responses credited peer groups with influence on cognition and behavior. This result is not as surprising, considering the heavy weighting given to the influence of peers in questions such as those in section "5" (Q5LOYAL) and section "8" (Q11PEER). As one midshipman (Male, Class of 2000, # M54) stated, "Tremendous effect, peer pressure is the toughest thing to deal with."

17. How does it make you feel when you read about or hear about fellow midshipmen getting involved in morally questionable activities? How do you feel when you see national leaders (i.e., government, sports, entertainment, military, etc.) involved in morally questionable activities?

This research has already touched on the frequent historical occurrence of incidents bringing public discredit to the Naval Academy and the Navy as a whole. The fact that officials have repeatedly struggled to shore up the Academy's public image in the wake of these damaging incidents is also well-known. At such a public institution as the Naval Academy, the mistakes of a minority of midshipmen can disparage the reputation of the majority. Nevertheless, the collective angst and incredulity of the majority in response to the derelict minority of midshipmen has often gone unrecorded, even while the majority absorbs the repercussion of the minority's mistakes. This question

was intended to gauge two factors related to this discussion: one, the perspective of midshipmen in reaction to these incidents; and two, the manner in which midshipmen judge the mistakes of their shipmates in contrast to similar mistakes made by other "public figures".

Two dichotomous variables, Q23BAD and Q24WORSE were created to accomplish these ends. Q23BAD was scored "1" for midshipmen who expressed resentment or anger, and "0" for those who did not express any type of negative feeling or recognition of the detrimental effects of these embarrassing incidents. Of those who scored "1" in the first part of the question, Q24WORSE was scored "1" for midshipmen who expressed a more negative reaction to the misdeeds of public figures, and "0" for equal or lesser emotional responses.

In all, 74 responses were obtained to this question. Of those responses, nearly 90% were negative in judgement of the major public mistakes of fellow midshipmen. Of the 66 midshipmen who scored "1" in the Q23BAD category, almost 50% scored "1" in the subsequent Q24WORSE category. Some responses typical of these scores were:

- [FIRST QUESTION] "You never get the full story so its hard to judge others, but it usually pisses me off." [SECOND QUESTION] "Repulsed!!!" (Male, Class of 1998, # M3).
- [FIRST QUESTION] "It is frustrating, because

Midshipmen are stereotyped by whatever makes it into the newspapers or to the Commandant's desk. Everyone suffers for the shortcoming of a few." [SECOND QUESTION] "Power corrupts. USNA has led me to change my intentions of being a career officer. The politics involved are incredible. My goal now is to leave here with at least some respect for the system intact" (Male, Class of 1999, # M27).

- [FIRST QUESTION] "You realize that could easily be you in that situation." [SECOND QUESTION] "It pisses me off. . ." (Female, Class of 2000, # M39).
- [FIRST QUESTION] "It's obviously sad but they took part and must take responsibility for their actions." [SECOND QUESTION] "Bad because they are a representation of us. They are our leadership and should be setting the example" (Male, Class of 2001, # M65).

The high percentage of midshipmen who recognize the negative impact of scandal on the Brigade's image is praiseworthy. It also reflects how the infrequent and unfortunate newsworthy events are generally not an indicator of how all midshipmen act or think. Evidence from the

second question supports the assertion that many midshipmen seem to hold themselves or their peers to a reduced standard of behavior in comparison to other potentially newsworthy personalities. This attitude appears to be a natural self-protective reaction of developing adults in a social structure that stresses chronic testing and subjective review from above and from outside. However, midshipmen should all realize that the responsibilities of service to the national security needs of the United States demand as high an ethical standard as in any other calling. With the perception of peer group impact expressed by midshipmen in other questions, a heightened awareness of uniform ethical standards for all present or future public leaders could go a long way toward shaping the attitudes of large groups of midshipmen. The bottom line is that the apparent inconsequential nature of an incident is not as important to consider as is the potential impact on individual and group images.

18. Scenario: An opportunity arises that allows you to graduate by passing a physical or academic test by some means that *might* be construed as calling your personal integrity into question. There is really no appreciable chance of anyone else finding out, but the alternative may be telling your family or friends that you were separated from the Academy for some form of deficiency. After your experiences on The Yard and within the Brigade, how do you genuinely feel you would react? How do you think you would feel about it later?

The tale of *The Ring of Gyges* is a lesson common to all

the U.S. military academies' core ethics classes. In this tale, Glaucon argues with Socrates that citizens of a society are not just and moral simply because it is right to love justice. Instead, his point is that people would behave in an unjust manner if they could act with impunity and that justice is merely a preventive state of morality based on compromise and fear of consequences. In the tale, Gyges was able to murder the King of Lydia and seduce his wife because he wore a ring that made him invisible and, as a result, immune from punishment.[260] Anecdotally, midshipmen have frequently expressed an assumption that compliance with the honor and conduct systems is based only on fear of punishment. This question targeted the universality of this sentiment.

Three dichotomous variable were created for this question: one, Q28GRAD, was used to score those responses indicative of a "graduation by any means necessary" attitude; two, Q28HONOR was used to score responses from midshipmen who related an unequivocal "honor above all other things" attitude; three, Q29CHTOK was used to score those who registered a "1" for Q28GRAD and further related that they would not feel any pangs of conscience over cheating.

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[260] See Plato, "The Ring of Gyges" in Christina Sommers and Fred Sommers, Vice & Virtue in Everyday Life (Fort Worth, TX: Harcourt Brace College Publishers, 1993), pp. 445-450.

The results were promising. Of 66 valid responses received, 44, or two-thirds, of the midshipmen indicated they would not cheat or lie to graduate. The other 33% related that they would cheat or otherwise expressed some doubt over what their actual course of action would be. Of those 22 who scored "1" in Q28GRAD, 50% felt that they would feel no remorse later. In other words, one in six midshipmen openly stated that they would cheat to graduate and "would live with it if it allowed me to continue with my desired future" (Female, Class of 2000, # M9).

By class, the highest statistical willingness to cheat was compiled by the first-class at 50%. The lowest willingness to cheat was shown by second-class midshipmen at 30%. Of 34 valid responses from club and varsity athletes who compete at the intercollegiate level, only 34% expressed a willingness to cheat. Some common responses were:

- "If it <u>were</u> dishonorable, I wouldn't do it. If it weren't, I would" (Male, Class of 2001, # M69).
- "I would do my best and if things didn't work in my favor, I still couldn't put integrity on the line. It would be worse to get by that way than having to face your family and friends" (Male, Varsity Athlete, Class of 2001, # M58).
- "I would rather be separated for a deficiency than for an honor offense" (Male, Class of 2000, #

M41).

- "Even if no one else knew, I would know. It would defeat the whole purpose of sacrificing four years of my life here" (Male, Class of 1999, # M27).
- "I'd cheat my ass off (maybe a little strong but you get the point). This place has cheated me of many things. I'd feel bad, but I wouldn't regret it" (Male, Class of 1999, # M20).
- "The only person who can tell you your best wasn't good enough is you. A failure is not someone who fails, but someone who doesn't continue to try. I would rather get kicked out and be successful, than to cheat and be more successful" (Male, Class of 1998, # M3).

19. If you were invisible, immune from prosecution, or exempt from the review of peers, would your moral actions be influenced differently or would they be the same as they are now?

This question merely echoed the intent of the previous question. As in other questions, it was intended as a cross-check of consistency in answering and was not co-located in the survey with its complementary question. The variable Q19SAME was created, with a "1" scored for responses reflecting a midshipman's belief that his or her action would remain the same. A total of 73 valid responses were received, 73% of which were scored as Q19SAME answers.

These results are slightly higher than the results obtained in the complementary question. This is understandable as most midshipmen state something along the lines of, "I hope that it would be the same" (Male, Class of 1998, # M17). However, when a contextual incentive to cheat is offered through a scenario that is relative to their typical experience, the numbers of "idealistic" respondents drops. For the entire Brigade, the drop equaled about 8%. It is more noteworthy that the drop, even when graduation and commissioning are on the line, was only this small. The drop among first-class seems closer to the intuitive expectation; this gap might be credited to the amount of effort that first-class midshipmen had already invested in getting through more that three years at the Academy. In other words, where the risk of being caught is low and the potential reward for behaving dishonorably, graduation, is so high and so close, those who have been in the Academy culture the longest may be most likely to make this jump. Certainly this would not be the case after three years if the risk of being caught was high.

20. How, if at all, have your standards of behavior changed since high school (or the fleet)? What was the influence of every day life at USNA? What was the influence of ethics-related instruction at USNA?

The goal of this question was to ascertain midshipmen perceptions on how they have been affected by the ethical

structures of the Naval Academy. These structures are found in formal training, as well as in the ambient modeling of ethics that midshipmen are exposed to in all facets of their daily routine. Midshipmen were queried regarding the type of change they have undergone, as well as the influence of USNA on that change. These separate questions notwithstanding, it is hard to imagine any sociological influence other than USNA that could have exerted greater leverage on any change in character or behavior over the course of four years. Because of the total social immersion of the system, it is doubtful that any other influence could have exceeded the impact on character of academy life. For this reason, responses were only measured in academy-specific categories of better (Q30NABTR), unchanged (Q30NANON), and worse (Q30NAWRS).

It was not as important to the research to determine whether the midshipmen felt the Naval Academy was the catalyst for their change as much as their perceived direction of change. The factor of perception will shape future praxes more than the subconscious roots of the real source of change. It was not uncommon to find midshipmen expressing bitterness toward the academy's efforts in ethical development and denying the Naval Academy credit for having any impact. Of 67 valid responses received, 61.2% felt their behavioral tendencies had become more ethical,

with a further 25.4% relating no effect. Only 13% scored "1" in the Q30NAWRS category (See Figure 7.13).

C. FACULTY SURVEY RESULTS

As previously discussed in Chapter II, surveys of Naval Academy faculty members were also conducted anonymously (See Appendix B). The faculty survey mirrored the midshipman survey, and was expected to illicit a corollary perspective on the same issues. A total of thirty surveys were distributed in two even groups of military and civilian faculty. These groups fell into various areas of mental, physical, professional and moral development. The goal was to obtain a cross-section of the human influences on midshipman reasoning and behavior. Unfortunately, the returns were very poor, 12 in all, at an unsatisfactory rate of 40%. As in the review of international military academies from Chapter V, the research effort was constrained by time limitations of the degree program, as well as absence of academy faculty during the period of summer training away from Annapolis. A few more months could have provided room to adequately complete the reviews of Naval Academy faculty attitudes and international academy programs. With only 12 surveys to represent the entire faculty complement, statistical and practical significance is negligible. Therefore, no SPSS calculations were

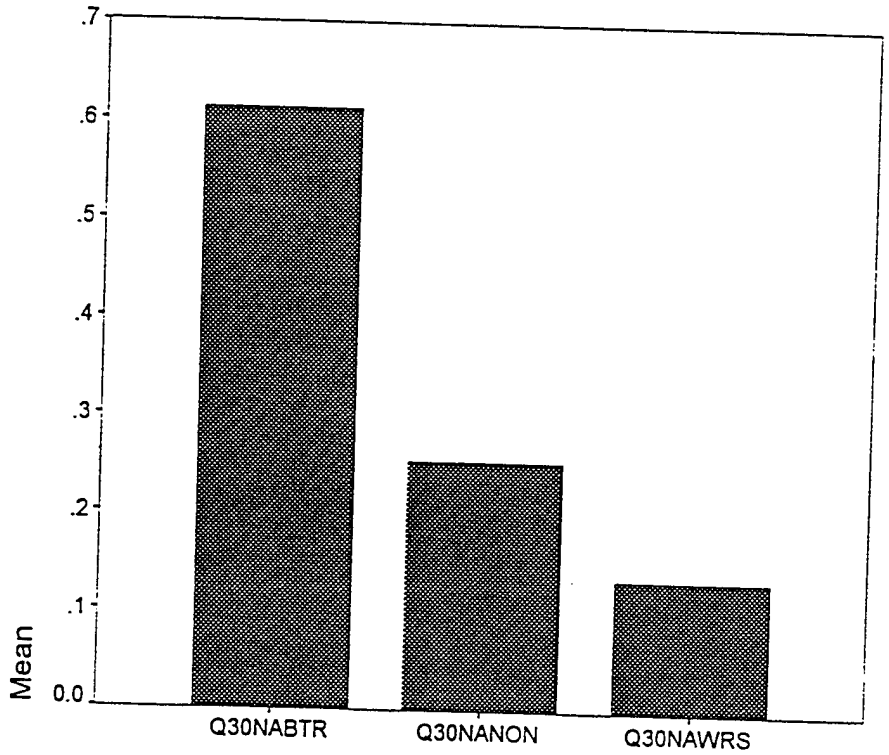

Figure 7.12: *Section 20 Analysis*

generated from this data. Nonetheless, several key points are made in most or all of the faculty surveys that are valuable to the research and worthy of discussion.

1. Procedural Effectiveness of the Honor System

Nine of the twelve respondents graded the honor system as slightly or very effective. However, seven of those respondents and two others mentioned that their faith in the procedural aspects of the system is less than total. These faculty members believe that the process has become too legalistic, rife with loopholes, and easily superseded in effectiveness by personal, informal counseling. For example, one academic instructor (Female, Military Instructor, # F6) graded the system as very ineffective and observed that the process "is supposed to weed out those without integrity. Instead many of the violators are given honor probation [sending] a mixed message." In a lengthier response, another faculty member (Male, Civilian Professor, # F10) recorded:

> I have witnessed honor boards and was badly dissatisfied with the elaborate process which led to an unsatisfactory compromise. The system is, for good and necessary reasons, legalistic and cautious. It works better to deal with such offenses as plagiarism by carefully gathering the

> evidence, reviewing it with someone distant from the offense (like my department chair), meeting with the mid in the presence of the chair, presenting the allegation and working slowly to a resolution which is likely to involve an F for the assignment and probably the course.

Expressing a similar sentiment, one instructor (Male, Civilian Professor [retired military], # F9) called the system "a hassle" and intimated, "many faculty see the 'system' as one which protects mids. There have been several instances where faculty graded the process unsatisfactory." All of the respondents appeared to support the intent of the honor concept, but again, three-quarters of those surveyed expressed similar doubts about the efficacy of the system's success in creating moral guidelines.

2. Midshipman Character Flaws in the Aggregate

As with the midshipmen who were surveyed, many of the faculty believe that "the midshipman moral standards are well established before arriving at USNA, some are honorable and some are not; we can't change that" (Male, Civilian Professor, # F8). This is consistent with most of the literature on moral development in late adolescents. A number of faculty members expressed that they accept and

work with the fact that some midshipmen will commit honor violations. One expressed it as a midshipman's moral "cracking point", contextually defined by academic and physical pressures that must be overcome "to get back in the running by cheating and lying" (Male, Civilian, # F10). He related midshipmen metaphorically to "slalom skiers, moving as fast as they can, barely in control and always sighting on the next gate. It is very hard to get them to slow down and consider the entire conduct of their lives."

All faculty members recorded eight (on a ten scale) or higher for their level of trust in the midshipmen with whom they work. This high level of trust notwithstanding, nine of eleven valid responses advanced a belief that most midshipmen would take the less honorable route in a hypothetical "cheat or be separated" scenario as mentioned in section "18" of the midshipmen survey analysis. This contrasts sharply with the midshipmen responses that showed only a 33% willingness to cheat to graduate. These "most midshipmen" or "all midshipmen" responses also contrast with the Malmstrom and Sulero honor violation self-report level of 45%. Some faculty responses were:

- "They will stretch honor to graduate" (Male, Civilian Coach, # F7)
- "I think most mids will do anything if it gets between them and graduation" (Male, Military

Instructor, # F1).

- "Most would compromise themselves rather than confess to failure" (Female, Military Instructor, # F6).
- "The Brigade, as a whole, is a very savvy group. While they would have some genuine concerns, I feel that most of the Brigade would take the risk of having their integrity called into question vice risking separation" (Male, Military Coach, # F11).

3. Integrity Development Seminars

These results were similar to those obtained in the midshipman surveys. Of ten valid responses, nine were either negative or contained negative qualifiers. For instance:

- "The blind leading the blind. . . . The examples are trivial and real lapses are never discussed--are out of bounds" (Male, Civilian Professor [retired military], # F3).
- "I think they serve as 'reminders.' But, I also think they may be 'getting old'--the emphasis is viewed differently after they become routine" (Male, Civilian Professor [retired military], # F9).

- Midshipmen are skeptical about the process. They all have preset ideas about various moral issues. No one seems to be affected by IDS, some are completely uninterested, don't participate and often fall asleep" (Male, Civilian Professor, # F8).
- I hear [the mids] speak of IDS as the successor to TQL. . . . the courses must be carefully designed to matter to the mids, and the instruction in ethics is best carried out with real and detailed case studies that relate closely to the Mids' futures and to the subject matter of the course" (Male, Civilian Professor, # F10).
- "The results vary dramatically from group to group and leader to leader--and many of the IDS readings are <u>not</u> good discussion-generators" (Female, Civilian Professor, # F2).

4. Leader Modeling

The faculty survey questioned the influence of leaders and peers on moral structures in comparison to the influence of formal classroom work. The question was virtually identical to section "16" of the midshipman survey analysis. Of 12 valid responses to this question, 10 credited leader example as the key to validating classroom lessons, with the

eleventh response citing equal levels of impact by personal modeling and formal instruction. Two responses expressed doubt that "any influence at USNA can erase the positive influence of good moral education before arriving" (Female, Civilian Professor, # F2) and that "a person's demeanor is based upon how he or she was taught as an infant, child, and teen" (Female, Military Instructor, # F12). Of the 10 responses that credited the power of personal example, 8 stated that there is an unbreakable, complementary relationship between classroom theory and observed human operationalization of that theory. Here are a few examples:

- "Formal lessons can clarify things, but they have little force to create or change. Strong examples (which are rare) are much more effective" (Male, Military Instructor, # F5).
- "Without a doubt, the leaders have a much greater impact than anything they learn in class. The classroom identifies observed behavior; the leaders provide the styles that will be impersonated" (Male, Military Coach, # F11).
- "I think it comes more from the environment. All the classwork will be undone when they work under one hypocrite" (Male, Military Instructor, # F1).
- "More influenced by the 'examples'--formal lessons are necessary to provide an ideal in case their

examples are not [ideal]" (Female, Military Instructor, # F6).

- "They 'follow' their leaders who MUST BE excellent role models; otherwise, the whole moral teachings [sic] will be meaningless" (Male, Civilian Instructor, #F8).

D. SUMMARY

In summary, the midshipman and faculty "voices" in the survey responses provide valuable insight into the process of moral instruction at the Naval Academy. In cases where clear majorities made similar responses, or cases where responses to different questions became complementary, the results become most compelling. Some results tend to dispel positive or negative stereotypes. Some show extensive similarities between faculty and midshipmen attitudes. Still others show distinct differences in midshipman and faculty opinions. Many of the responses may even be unpleasant to confront. Regardless, the survey provided a medium to hear opinions on sensitive issues that is not often seen in military social structures. Longitudinal continuation of these types of surveys would undoubtedly add to the utility and impact of the results. Conclusions as they relate to the entirety of the research are discussed in the final chapter.

VIII. SUMMARY OF OBSERVATIONS, RECOMMENDATIONS, AND CONCLUSIONS

A. SUMMARY OF OBSERVATIONS

This thesis examined the systemic aspects of ethics instruction and moral development programs that have evolved at the United States Naval Academy over the last ten years. The study attempted to examine how both the organization and the individual midshipman have been affected by these recent efforts. In moving toward this broad objective, the research sought quantitative and qualitative evidence from a multitude of interdependent milieus, all of which in some way may help illuminate the influences on moral and ethical development.

Admittedly, this is no small task. Because the subject area is so new, organizational outcomes are best studied through historical comparison. As ethics instruction continues into the next century, more data relevant to contemporary programs will become available. The statistical review also does not deliver adequate longitudinal extension to recognize significant attributable changes or draw conclusions with high confidence. The service academy review offered comparisons of where instruction and assessment methodology converge and where

instruction and assessment methodology diverge. Surveys allowed a measure of statistical proof alongside a noteworthy contribution to the collective "midshipman voice." In summary, this research best serves two ends. First, the research serves as a compendium of information pertaining to the historical and current means of implementing moral development initiatives at civilian and military educational institutions. Second, and with a higher level of practical utility, this thesis is a starting point for future research that focuses on the specific areas addressed in this analysis. The summary of observations is best presented under headings of the original research questions.

1. **Are there measurable indicators of moral quality or ethical development for midshipmen, both as individuals and in the aggregate?**

The research provided three primary standpoints from which to answer this question: from the standpoint of development theory; from the standpoint of tools for measuring moral development; and, from the standpoint of institutionally specific categories of measurement. Where major theorists do not agree on how morals are cognitively constructed, they do generally coincide in the idea that most of the attainable gains in moral development have been made by the time a person reaches the age of 18. This leads

to the reasoning that: a) midshipmen arrive at USNA with a firmly established cognitive structure, and b) very little change or improvement over the course of four years can be expected. This is not overly alarming because midshipman who self-select into the academy already have some notion of the moral strictures that distinguish military from civilian life.

From a standpoint of moral measurement tools, there would seem to be indicators of moral development available, although they are not in wide use at this time. All of the academies have some sub-organization dedicated to assessment of cadet and midshipman development. Additionally, the Naval Academy is implementing the second half of a longitudinal DIT study this year. Chapter IV describes the tools available that examine different aspects of moral reasoning, awareness, and action, all with different skills required for scoring and costs associated with their use.

From the standpoint of institutionally specific indicators of moral quality, there are no reliable measures. The honor system would serve merely as a measurement by default, not a measurement of quality. The performance system reveals nothing about the moral quality of a midshipman or a group of midshipmen. Only the administrative conduct system remotely approaches this end. While the system lays out behavior that may indicate

"questionable personal morals," conformity or nonconformity with these standards is not an accurate reflection of the quality of what Rest and Narvaez described in the "Four Component" model as moral judgement, sensitivity, or motivation. As much as three-quarters of the Brigade of Midshipmen reports that the conduct system is not a proper instrument in the guidance of their daily moral actions. There is also no appreciable or significant change in conduct grades following the semester in which ethics is formally taught. The bottom line, then, is that there are agents available for the measurement of moral development, and the Naval Academy could benefit from the use of these tools, but there are not, at this time, readily discernible indicators of aggregate or individual moral quality available to officers, instructors, and faculty members at the Naval Academy.

2. How do midshipmen assimilate and employ ethical concepts presented in formal classroom instruction?

From the survey results in Chapter VII, one could advance an impression that the inability of midshipman to recall details from ethics classes gives testimony to weak assimilation of classroom concepts. This may be due, in part, to the vastly different cognitive demands of a highly technical curriculum, coupled with a lack of adequate time

for reflection due to the heavy academic, athletic, and professional workload.

As far as employment of the concepts goes, a number of survey questions point to weak employment of ethical concepts on the part of a sizeable proportion of the respondents. This was indicated by a considerable collective willingness to commit honor offenses, willingness to overlook the commission of honor offenses, or employment of ethical concepts purely out of fear of punishment. Weak employment of ethical concepts was often driven by classmate loyalty, peer pressure, and competition related to the drive to graduate. The fact that studies show significantly lower levels of cheating and stealing at military academies than at civilian schools has an ameliorative effect on this observation.

3. How are midshipman attitudes affected and altered by the character development initiatives over the course of four years at USNA?

As mentioned in section 2 of this chapter, only a small proportion (35 percent) of midshipmen who took the NE203 course could recall specific concepts from that formal ethics class. One-fifth of the midshipmen expressed cynicism toward "Ethics Across the Curriculum", while one-third expressed general satisfaction. As discussed in the previous chapter, there was also a greater percentage of

midshipmen who expressed dissatisfaction with the Integrity Development Seminar program than there was in the satisfied category. Also, only 40 percent of the first class midshipmen surveyed credited superior officers with influence on their moral outlook. There were few trends divined that were attributable to class or seniority. These results harken back to moral development theories in Chapter IV that relate how the greatest extent of development is accomplished prior to adulthood. In short, the midshipmen, as a whole, do not recognize character development and ethics instruction as significant influences, and there is little age or conduct trend analysis available to support this, but cognitive and subconscious changes in moral reasoning are more subtle than either midshipman respondents or the survey itself can realize. Future compilation of survey and behavioral data will reveal more information pertaining to the effect of these initiatives on midshipmen development. If research from medical and religious schools serves as a comparative indicator, Naval Academy officials can certainly expect midshipmen to benefit from this training, whether they report an awareness of these benefits or not.

4. How does the ethics program compare to similar programs at other U.S. and foreign service academies, in both structure and outcome?

All of the academies surveyed offer ethics instruction at differing levels. For many of the foreign academies, ethics instruction is offered merely as an elective course or to those who choose to major in philosophy. However, all of the major U.S. service academies have labored to establish quality, comprehensive ethics training. Structurally they are similar. All of the academies have moved toward remediation of honor violators in appropriate cases. They all embrace traditional philosophical theory, as well as the use of case studies and small group discussion. These methodologies also conform to those cited as the most effective in Chapter IV. Only the Naval Academy is forced to use large group lectures on theory, due to personnel constraints. However, none of the academies have put more effort into the discussion and solving of moral dilemmas than the Naval Academy has with its Integrity Development Seminars.

Attempts to measure outcomes of these initiatives are in place at all of the academies. However, virtually no quantitative results have been developed. Historically, military academies have benefitted from major, cathartic curricular change, and the structure of these programs corresponds to most of the prominent moral development theory discussed in this thesis. Again, with these comparisons in mind, the future of these programs looks

promising.

5. How does the Character Development program affect the leadership and instructional relationships between officers/faculty and midshipmen?

Officers and civilian faculty alike tend to express similar views regarding their relationship with the Brigade of Midshipmen. Paradoxically, there is a high level of trust reported by faculty members that does not correspond with their belief that most midshipmen will compromise their honor when forced to choose between an immoral action or graduation. Faculty members also seemed as pessimistic about IDS as the midshipman respondents. It is also important to note that midshipmen report a high level of influence on their development, positive and negative, that is exerted by their superiors in the faculty. Negative influences are exacerbated by superiors who do not live up to their ethical standards on a daily basis. Intuitively, this is not surprising. Yet, 10 of 12 faculty respondents credited leader example as the key to validating classroom instruction in ethics.

B. RECOMMENDATIONS

The major issue that this research reveals is that very little assessment and analysis of these programs has been conducted or made available to those who could benefit from it at service academies around the world. Also, there are

enough midshipmen reporting dissatisfaction or confusion regarding the basic elements of ethical development programs at the Naval Academy to command the attention of those who might improve these functions. Minor recommendations can be independently inferred throughout this thesis. From the research questions are drawn the following four major recommendations.

1. **Measurement of moral development within the Brigade of Midshipmen should be conducted and published annually.**

If the academies are going to continue to invest as many capital and human resources as they currently do into the ethical development of the future officers of our armed forces, then assessment of those programs that conforms to scholarly standards should be a top priority. A test such as the MJT that integrates the most useful traits from other assessment tools into a standardized function requiring little prior training on the part of the scorer could easily and inexpensively reveal useful information. This information could be exchanged in standardized format between academies around the world so as to benefit from the successes and the failures of fellow institutions.

2. **Make the core NE203 course available in fall, spring and summer sessions, as well as other upperclass academic years besides sophomore year.**

Offering this course in other semesters will help

alleviate some of the problems associated with shortages of qualified instructors. USAFA has benefitted from offering the core class to cadets anywhere between their second and fourth years. Fewer large lecture hall sessions and summer block sessions will also improve cognitive retention of ethical concepts.

3. Make moral development theory an integral component of either the core ethics or leadership courses.

By introducing this material to midshipmen en masse, it can help them gain a broader understanding of the intent and methodology associated with ethical development programs. In turn, this will facilitate increased self-evaluation and improved feedback on the systemic aspects of ethics instruction. When midshipmen gain the same understanding of why ethics is being taught as they do in relation to technical courses, cynicism will decrease, while participation and assimilation of abstract concepts will increase.

4. Aggressively address the faculty and midshipman voices of dissatisfaction through appropriate and effectual forums.

As long as voices of dissatisfaction might be ignored, the viewpoints and beliefs they express are tacitly validated. Where faculty members express discontent with the procedural aspects of the honor system, the voices

should be addressed to remedy the problem or better explain the factor in question. The same can be said for midshipman viewpoints regarding elements such as IDS, trust levels in superior officers, and the frequency of honor violations. To ignore them is to accept and validate them; to address feedback is not antithetical to the development of a professional corps of officers.

C. CONCLUSION

Historically, institutions of military education have had to endure the public scandals that arise from young adults developing within the confines of a strictly regimented lifestyle. The same has been true, and will probably continue to be true in the future, for the United States Naval Academy. Overall, the ethical development of midshipmen is a healthy process. This process will remain healthy inasmuch as the adolescents who self-select admission to the academy continue to collectively exhibit high moral qualities. This high quality group of midshipmen will benefit from ethical instruction and development programs at the Naval Academy to the extent that the level of effort exerted toward that goal remains principled and undaunted.

APPENDIX A. MIDSHIPMAN SURVEY

This survey is being conducted as part of a thesis project for the Naval Postgraduate School in conjunction with the Naval Academy Company Officer Masters Program. The thesis is investigating the role of ethics instruction in the development of midshipmen and organizational improvement. All responses are confidential and anonymous. The survey will not be attributed to you in any way, and no response will be considered grounds for any type of investigation whatsoever. Do not write your name anywhere on the survey. Please try to answer these questions as candidly as possible. Please write as much as necessary to adequately express your feelings, and feel free to use the back of the survey or extra paper. The accuracy of your responses will directly influence the quality of this thesis; it is estimated that the survey will take 30 to 45 minutes to complete. Your cooperation and your openness are extremely valuable and supremely appreciated.

Part I

1. Class year: _____

2. Gender: _____

3. Prior prep/mil service: _____

4. Age: _____

5. Ethnic Group:
   1. Caucasian (non-Hispanic)
   2. African-American
   3. Hispanic
   4. Asian
   5. Native American
   6. Foreign National _____
   7. Other _____

6. Circle all ethics-related classes completed
   1. IDS only
   2. NE203 (Moral Reasoning for Officers)
   3. NP230 (Intro to Philosophy)
   4. NP232 (Ethics: Code of the Warrior)
   5. NP336 (Philosophy of Religion)
   6. NP340 (Philosophy of Science)

7. Current or Projected Academic Major: _____

8. Company Officer community/warfare specialty: _____

9. Company Officer rank: _____

10. Intended service selection: _____

11. Current sport (specify intramural, JV, or Varsity): _____

12. Religious preference: _____

13. Frequency of worship (if applicable from #12): _____

14. ECA's: _____

Part II

1. How effective do you feel the honor system is in developing moral standards at USNA? ()Very ineffective ()Slightly ineffective ()No effect ()Slightly effective ()Very effective Explain.

2. How would you define "honor violation" in guiding your own behavior or measuring the actions of others?

3. Which violation of the honor system do you feel is the most contemptible in the judgement of human character, lying, cheating, or stealing? Explain.

4. Have you ever witnessed what could be construed as an honor violation? If yes, did you report it?

5. What, if any, do you think is the main impediment or resistance to reporting honor violations?

6. Have you ever been involved in an act at USNA that you realize now could have been construed as honorably questionable? If yes, explain.

7. How do you feel about the incident from #6 now?

8. What keeps your actions in accord with the honor and conduct systems (e.g., the lessons you've received in formal training, peer pressure, the fear of getting caught and separated, the internal good feeling you derive from your personal standards of behavior, etc.)?

9. How would you personally resolve a challenge between peers/friends and your gut-feelings of integrity?

10. Moral behavior and moral reason are two separate states that **can** occur in conflict with each other. Have your moral actions ever gone against your moral reasoning? If yes, why?

11. What pressures, if any, do you feel contribute to the commission of honor violations?

12. Which statement do you feel is more accurate, and why: a) the commission of an honor offense condemns the credibility or reliability of a person's character, or b) each moral action involves an independent, unpatterned system of decision making? Explain.

13. Is evasive answering of questions or rationalization for self-preservation the same as lying? How about instantaneous, unreasoned responses to questions that are later determined to be erroneous responses (known as "pop-offs)?

14. Is it (#12) a common mind set? Is it acceptable to you? Understandable?

15. Have you found yourself in this (#12) mind set? If yes, explain.

16. How do you feel about it (#15) now?

17. Thinking back on leaders you've encountered at USNA (plebe detailers, company officers, instructors, coaches, etc.), have you acquired a system of moral reasoning and actions from their example? Explain.
18. How do peer, sports, or ECA groups affect this collection of tendencies (from #16)?

19. If you were invisible, immune from prosecution, or exempt from the review of peers, would your moral actions be influenced differently or would they be the same as they are now?

20. Is the publication of conduct regulations essential to guiding **your** daily behavior, both on and of The Yard? Do you find it easier, in avoiding conduct trouble, to follow the subtleties of the conduct system or your pre-existing behavioral standards and instincts?

21. The academy is moving to an "Ethics Across the Curriculum" program. Is ethical behavior made a top priority in all areas of the Yard (i.e., athletics, academics, sponsors, the hall, etc.)? Which areas are ahead or behind where you think is acceptable for the development of midshipmen?

22. What are the lessons that stand out in guiding your actions from formal ethics or philosophy instruction you have received at USNA?

23. How effective is IDS in continuously reinforcing your system of moral reason/ action?
()Very ineffective ()Slightly ineffective ()No effect ()Slightly effective ()Very effective
Explain.

24. How does it make you feel when you read about or hear about fellow midshipmen getting involved in morally questionable activities?

25. How do you feel when you see national leaders (i.e., government, sports, entertainment, military, etc.) involved in morally questionable activities?

26. I associate **empathy** with **the ability to recognize how one's own actions affect others or the ability to recognize how the plight of others would affect you in the same situation**. How have your experiences at USNA affected your feelings of empathy in the execution of your daily schedule (i.e., 4th class indoctrination, peer interactions/gossip, homework, etc.)?

27. Do you think the conduct system provides a good guide for moral behavior? Explain.

28. **Scenario**: An opportunity arises that allows you to graduate by passing a physical or academic test by some means that **might** be construed as calling your personal integrity into question. There is really no appreciable chance of anyone else finding out, but the alternative **may** be telling your family or friends that you were separated from the Academy for some form of deficiency. After your experiences on The Yard and within the Brigade, how do you genuinely feel you would react?

29. How do you think you would feel about it later? What influence would your future intrinsic feelings have on your current decision?.

30. How, if at all, have your standards of behavior changed since high school (or the fleet)? What was the influence of every day life at USNA? What was the influence of ethics-related instruction as USNA?

Comments: If you have any complaints about these questions, tips to improve them, general feedback, or would like to clarify your written answers in a personal, non-attributive interview, please inform me here. Thank you for your cooperation and support.

APPENDIX B. FACULTY SURVEY

This survey is being conducted as part of a thesis project for the Naval Postgraduate School in conjunction with the Naval Academy Company Officer Masters Program. The thesis is investigating the role of ethics instruction in the development of midshipmen and organizational improvement. All responses are confidential and anonymous. The survey will not be attributed to you in any way. Please try to answer these questions as candidly as possible. Please write as much as necessary to adequately express your feelings, and feel free to use the back of the survey or extra paper. Although some of the questions may seem to request sweepingly generalized responses, I am trying to divine common themes on typical attitudes that most people may outwardly try to avoid, but internally tend to form. Furthermore, I am aware that it is nearly impossible to accurately describe the specific individual differences that exist in any ostensibly homogeneous population. The accuracy of your responses will directly influence the quality of this thesis; it is estimated that the survey will take 30 to 45 minutes to complete. Your cooperation and openness are extremely valuable and supremely appreciated.

Part I

1. Job Title (i.e., coach, professor, company officer, etc.): _____

2. Current or prior military service/ branch: _____

3. Gender: _____

4. Age: _____

5. Educational background/highest degree obtained: _____

6. Academic department (if applicable): _____

7. Frequency of religious worship (if applicable): _____

8. Interaction with the midshipmen (i.e., daily, weekly, monthly, etc.):_____

Part II

1. How effective do you feel the honor system is in developing moral standards at USNA?
   ()Very ineffective ()Slightly ineffective ()No effect ()Slightly effective ()Very effective
   Explain.

2. How do you define an "honor violation"?

3. Have you ever witnessed the commission of what could be construed as an honor violation by a midshipman?

4. If yes, did you report it?

5. What do you think, if any, is the main impediment or resistance for midshipmen or faculty in reporting honor violations?

6. Which violation of the honor system do you feel is the most contemptible in the judgement of human character, lying, cheating, or stealing? Explain.

7. On a scale of 1-10 (10 being the highest level), how would you rate your overall level of trust of the midshipmen with whom you work?

8. On a scale of 1-10 (10 being the highest level), how would you rate your overall level of trust of the Brigade of Midshipmen in general?

9. If you expressed any difference in level of trust in questions 7 and 8, please explain.

10. What do you feel keeps a midshipman's actions in accord with the honor and conduct systems (e.g., the lessons they receive in formal training, peer pressure, the fear of getting caught and separated, the internal good feeling they derive from honorable behavior)?

11. How do you feel a midshipman generally resolves challenges between peers/friends and his or her internal sense of integrity?

12. Moral behavior and moral reason are two separate states that **can** occur in conflict with each other. When midshipmen exhibit moral behavior that goes against commonly accepted standards of moral reasoning, what do you think is the catalyst?

13. What pressures, if any, do you feel contribute to the commission of honor violations?

14. Which statement do you feel is more accurate: a) the commission of an honor offense condemns the credibility or reliability of a midshipman's character, or b) each moral action involves an independent, unpatterned system of decision making? Explain.

15. Is evasive answering of questions or rationalization for self-preservation the same as lying? How about instantaneous, unreasoned responses to questions that are later determined to be erroneous responses (known as "pop-offs)? Explain.

16. Do you commonly find the midshipmen with whom you work in this (#15)mind set? Is it acceptable to you? Why or why not?

17. Do you think that midshipmen "inherit" a system of moral reasoning and behavior moreso from their formal ethics lessons or from the examples of leaders they serve under at USNA (plebe detailers, company officers, instructors, coaches, etc.)? Explain.

18. In comparison to military and athletic superiors, how do peer, sports, or ECA groups affect this collection of tendencies (from #17)?

19. How effective is the conduct system in providing a guide for moral actions?
()Very ineffective ()Slightly ineffective ()No effect ()Slightly effective ()Very effective
Explain.

20. Is the publication of conduct regulations too specific, just right, or not specific enough in guiding midshipman behavior?

21. Are the regulations based more on common sense or military discipline? Explain.

22. The academy is moving to an "**Ethics Across the Curriculum**" program. Do you feel

ethics are made a top priority in all areas of Academy life (i.e., academics, athletics, sponsors, etc.)? Which areas do you feel are doing well or poorly in facilitating the moral development of midshipmen?

23. How effective is IDS in continuously reinforcing a midshipman's system of moral reason/action?
()Very ineffective ()Slightly ineffective ()No effect ()Slightly effective ()Very effective
() Don't Know. Explain.

24. How does it make you feel when you read about or hear about midshipmen getting involved in morally questionable activities?

25. How does it make you feel when you see national leaders (i.e., government, sports, entertainment, military, etc.) involved in morally questionable activities (explain)?

26. If there is a difference in the response to questions 23 and 24, please explain..

27. I associate **empathy** with **the ability to recognize how one's own actions affect others or the ability to recognize how the plight of others would affect you in the same situation**. How does a midshipman's experiences at USNA affect their display of empathy in the execution of the daily routine (i.e., 4th class indoctrination, peer interactions/gossip, homework, etc.)?

28. Do you think the conduct system provides a good guide for moral behavior? Explain.

29. **Scenario**: An opportunity arises that allows a midshipman to graduate by passing a physical or academic test by some means that **might** be construed as calling their personal integrity into question. There is really no appreciable chance of anyone else finding out, but the alternative **may** be telling their family or friends that they were separated from the Academy for some form of deficiency. After your experiences on The Yard and with the Brigade, how do you genuinely feel **most** midshipmen would react?

Comments: If you have any complaints about these questions, tips to improve them, general feedback, or would like to clarify your written answers in a personal, non-attributive interview, please inform me here. Thank you for your cooperation and support.

APPENDIX C. 1997 QUALITY OF LIFE SURVEY[1]

From: Director of Institutional Research

Via: Executive Assistant

Subj: 1997 Quality of Life Survey Quicklook

1. Four previous quicklooks on the 1997 Quality of Life Survey reported on Brigade-wide responses about company officers, stripers, honor concept, and conduct system. This memo looks at all questions and compares responses between the 1996 and 1997 surveys. In general, midshipmen had five responses from which they could select: two positive or favorable, one neutral, and two negative or unfavorable. For this memo, results and comparisons will consist of only three categories: positive/favorable, neutral, or negative/unfavorable. Abbreviated questions are repeated in order to make this a stand-alone document. Question numbers refer to the 1997 survey. In general, some of the favorable responses migrated to neutral and the unfavorable percentages were very similar. For a small number of questions, responses from the 1995 survey are also listed.

1. Overall, how would your rate the Naval Academy as an institution of higher learning?

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
1996	95%	4%	1%
1997	92%	6%	2%

2. What impact did Summer Seminar have on your decision to attend the Naval Academy? (Responses only from those who said they attended Summer Seminar)

1996	91%	6%	3%	(427 attendees)
1997	79%	13%	9%	(559 attendees)

3. What impact did a formal visit to the Naval Academy have on your decision to attend? (Responses only from those who said they had a formal visit).

1996	80%	16%	5%	(1808 visits)
1997	73%	21%	7%	(1900 visits)

4. The picture I was given of the Naval Academy by Admissions was accurate.

1996	42%	32%	26%
1997	47%	28%	24%

5. Knowing what you do now, was your decision to come to USNA the correct one for you?

1995	62%	35%	5%
1996	81%	11%	8%
1997	83%	10%	6%

[1] Source: USNA Institutional Research Center

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
6. Would you recommend USNA to a friend who has the interest and ability?			
1995	66%	18%	15%
1996	80%	12%	9%
1997	83%	10%	7%
7. How do you rate the overall academic program at USNA?			
1996	94%	5%	1%
1997	90%	8%	2%
8. How do you rate the overall professional development program (incl Bancroft Hall)?			
1996	61%	30%	9%
1997	67%	24%	9%
9. I am receiving a well-rounded education at the Naval Academy.			
1996	89%	5%	6%
1997	86%	7%	6%
10. Performance standards in the academic program are high.			
1996	89%	8%	3%
1997	87%	9%	4%
11. Performance standards in the professional development program are high.			
1996	67%	23%	10%
1997	71%	20%	9%
12. This is a high pressure, high stress environment.			
1996	89%	7%	4%
1997	89%	8%	4%
13. This **should** be a high pressure, high stress environment.			
1996	83%	12%	5%
1997	85%	11%	4%

Questions 14-18 asked midshipmen about their perception on the amount of workload.

	Too much	**About right**	**Too little**
14. The amount of the professional development workload.			
1996	22%	66%	12%
1997	28%	60%	12%
15. The amount of academic workload.			
1996	36%	63%	1%
1997	39%	59%	3%

	Too much	About right	Too little
16. The amount of time spent on moral/ethical development.			
1996	26%	55%	19%
1997	37%	51%	11%
17. Learning by "rote" rather than really understanding the material.			
1996	68%	30%	2%
1997	64%	33%	3%
18. Competition among midshipmen for grades, performance rankings, service assignment.			
1996	61%	37%	2%
1997	55%	42%	3%

Questions 19-21 asked the midshipmen to rate the job done by:

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
19. Last year's company officer.			
1996	39%	24%	37%
1997	50%	23%	27%
20. Last year's stripers.			
1996	26%	35%	39%
1997	58%	33%	14%
21. Senior leadership (Superintendent and Commandant).			
1996	81%	12%	7%
1997	84%	11%	3%

COMPANY OFFICERS

22. Interested in your personal well-being and progress			
1996	43%	21%	36%
1997	51%	20%	28%
23. Treated you with respect and dignity			
1996	53%	20%	27%
1997	64%	18%	17%
24. Communicated to you			
1996	37%	17%	46%
1997	47%	19%	32%
25. Listened to you			
1996	35%	21%	43%
1997	46%	26%	27%

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
26. Provided the right amount of discipline			
1996	46%	23%	31%
1997	54%	24%	22%
27. Gave feedback on your performance			
1996	31%	19%	51%
1997	39%	24%	36%
28. Counseled and coached you to help you improve			
1996	23%	21%	56%
1997	33%	24%	42%
29. Was consistent in his/her treatment of midshipmen			
1996	40%	13%	47%
1997	52%	16%	30%
30. Got midshipmen to work as a team			
1996	28%	29%	42%
1997	40%	31%	27%
31. Had sufficient contact with midshipmen			
1996	37%	16%	47%
1997	45%	20%	34%
32. Seemed intent on "catching" midshipmen (that is, displayed "form 2" mentality)			
1996	52%	17%	31%
1997	25%	18%	55%
33. Managed through fear and intimidation			
1996	26%	19%	56%
1997	20%	18%	60%
34. Were confident (knew what they wanted to do and how to do it).			
1996	58%	20%	21%
1997	58%	25%	16%
35. Were good role models for midshipmen			
1996	38%	23%	39%
1997	48%	23%	27%
36. Displayed trust in you			
1996	41%	19%	40%
1997	51%	23%	25%

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
37. Were trusted by you			
1996	40%	18%	42%
1997	52%	21%	26%
38. Were able to motivate midshipmen to do their best			
1996	27%	25%	48%
1997	41%	26%	31%
39. Acted in the best interests of the Naval Academy			
1996	51%	27%	22%
1997	58%	23%	17%
40. Is respected as a leader.			
1996	Not asked		
1997	49%	18%	31%

STRIPERS

41. Interested in your personal well-being and progress			
1996	28%	26%	46%
1997	44%	33%	21%
42. Treated you with respect and dignity			
1996	32%	26%	42%
1997	48%	32%	18%
43. Communicated to you			
1996	35%	22%	42%
1997	53%	27%	18%
44. Listened to you			
1996	22%	25%	53%
1997	43%	32%	24%
45. Provided the right amount of discipline			
1996	30%	30%	40%
1997	47%	36%	16%
46. Gave feedback on your performance			
1996	31%	24%	45%
1997	42%	30%	26%
47. Counseled and coached you to help you improve			
1996	24%	26%	50%
1997	36%	33%	30%

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
48. Were consistent in their treatment of midshipmen			
1996	28%	18%	54%
1997	38%	28%	32%
49. Got midshipmen to work as a team			
1996	26%	32%	42%
1997	40%	37%	225
50. Had sufficient contact with midshipmen			
1996	49%	22%	29%
1997	53%	27%	19%
51. Seemed intent on "catching" midshipmen (that is, displayed "form 2" mentality)			
1996	Not asked		
1997	29%	33%	37%
52. Managed through fear and intimidation			
1996	32%	26%	42%
1997	23%	32%	44%
53. Were confident (knew what they wanted to do and how to do it).			
1996	45%	27%	28%
1997	54%	32%	13%
54. Were good role models for midshipmen			
1996	30%	30%	40%
1997	47%	34%	17%
55. Displayed trust in you			
1996	33%	28%	39%
1997	43%	33%	22%
56. Were trusted by you			
1996	27%	24%	49%
1997	42%	33%	24%
57. Were able to motivate midshipmen to do their best			
1996	17%	35%	48%
1997	35%	40%	24%
58. Acted in the best interests of the Naval Academy			
1996	35%	32%	33%
1997	55%	31%	13%

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
59. Were qualified for their striper positions			
1996	34%	30%	36%
1997	49%	33%	17%
60. Represented a diverse cross-section of midshipmen			
1996	48%	20%	32%
1997	50%	29%	20%
61. Overall, I agree with the Honor Concept (it makes sense, is appropriate for USNA).			
1996	89%	6%	5%
1997	88%	7%	4%
62. I understand what constitutes a violation of the Honor Concept and the consequences of that violation.			
1996	91%	6%	3%
1997	88%	8%	3 %
63. Overall, the Honor Concept is administered fairly.			
1996	60%	21%	19%
1997	64%	20%	15%
64. My personal behavior adheres to the principles of the Honor Concept.			
1996	84%	11%	5%
1997	83%	12%	4%
65. The existence of the Honor Concept contributes to the mission of the Naval Academy.			
1996	88%	8%	3%
1997	84%	10%	5%
66. The existence of the Honor causes midshipmen to behave more honorably.			
1996	50%	24%	27%
1997	57%	22%	19%
67. The existence of the Honor System contributes to my moral development.			
1996	57%	21%	23%
1997	62%	21%	16%

68. Which of the following statements most accurately reflects your opinion of the disciplinary action taken for those found in violation of the Honor Concept?

a. Disciplinary action is generally fair and appropriate	39%
b. Disciplinary action is generally too harsh	16%
c. Disciplinary action is generally too lenient	11%
d. Disciplinary action is too inconsistent	32%

Note: this question was not asked in 1996.

69-71. Midshipmen were asked how often they have taken action (reported or formally counseled) when they have observed instances of lying, cheating, or stealing. The far right column reports the percentage of respondents who have never observed an offense in the category. The responses of the remaining midshipmen (who by deduction have observed an offense) are categorized into favorable (those who have taken action most of the time), neutral (those who take action some or half the time), and unfavorable (those who take action less than half of the time).

		Fav	Neu	Unfav	Never Observed
Lying	1996	33%	8%	59%	39%
	1997	32%	11%	50%	38%
Cheat	1996	37%	7%	56%	58%
	1997	33%	17%	51%	56%
Steal	1996	59%	8%	33%	74%
	1997	42%	16%	42%	66%

72-74. Midshipmen were asked how often they believe midshipmen in general take action with respect to possible violations. Of those midshipmen who had an opinion:

		Fav	Neu	Unfav
Lying	1996	28%	28%	44%
	1997	32%	51%	18%
Cheat	1996	47%	22%	30%
	1997	46%	36%	12%
Steal	1996	70%	13%	17%
	1997	60%	24%	10%

75-77. Midshipmen were asked how often they observe violations of the Honor Concept.

		Daily	Weekly	Monthly	Rarely	Never
Lying	1996	2%	7%	21%	30%	41%
	1997	4%	11%	25%	28%	31%
Cheat	1996	1%	3%	10%	22%	63%
	1997	2%	6%	14%	27%	50%
Steal	1996	1%	2%	4%	13%	80%
	1997	2%	4%	9%	19%	66%

To what extent has each of the following had a positive or negative impact on your adherence in your personal behavior to the Honor Concept?

78. Competition for (academic) grades.

	Very positive/pos	Neither	Negative/very neg
1996	24%	50%	26%
1997	28%	50%	20%

79. Competition for performance grades.

1996	24%	50%	26%
1997	24%	54%	21%

NB: In 1996 the questions were combined into one.

80. Classmate loyalties and pressures.

1996	30%	36%	34%
1997	31%	40%	27%

81. Your company officer (his/her behavior, the example he/she sets).

1996	35%	51%	14%
1997	38%	50%	11%

82. The stripers in your company.

1996	29%	56%	15%
1997	37%	52%	10%

83. Senior Naval Academy leadership (the Superintendent and the Commandant).

1996	70%	26%	4%
1997	60%	35%	4%

84. Varsity coaching staff.

1996	37%	55%	7%
1997	31%	60%	7%

85. The Honor Education Program.

1996	53%	42%	5%
1997	47%	47%	5%

86. The Integrity Development Seminars.

1996	41%	50%	9%
1997	33%	53%	13%

87. Workload and time pressures.

1996	18%	46%	36%
1997	23%	48%	28%

To what extent do you agree or disagree with the following statements:

88. Midshipmen should be held responsible for monitoring adherence to the Honor Concept by other midshipmen.

	Strongly agree/agree	Neither	Disagree/strongly disagree
1995	65%	21%	14%
1996	85%	9%	6%
1997	75%	15%	8%

89. The Honor Concept should contain a "non-toleration" clause whereby any midshipman who observes a suspected honor offenses and fails to report or formally counsel the suspected violator is similarly guilty of an honor offense.

1996	20%	14%	66%
1997	17%	17%	64%

90. Midshipmen do, in fact, administer and enforce the Honor Concept.

1996	39%	22%	39%
1997	69%	22%	8%

91. The behavior of Naval Academy midshipmen with regard to behaving honorably (that is; not lying, cheating, or stealing) is better than the behavior of students on other college campuses.

1996	93%	5%	2%
1997	86%	9%	3%

92. It is appropriate for the Naval Academy to have a Conduct System.

1996	84%	7%	9%
1997	88%	7%	3%

93. I have a good understanding of the rules of the Conduct System and the consequences of violations.

1996	78%	10%	12%
1997	72%	15%	11%

The following questions were asked for the first time in 1997:

The administration of the Conduct System is biased against:

94. Women	7%	23%	68%
95. Men	19%	27%	53%
96. Minority	7%	26%	65%
97. Athletes	12%	24%	62%

The administration of the Conduct System is biased in favor of:

98. Women	29%	25%	44%
99. Men	19%	27%	53%
100. Minority	17%	29%	52%
101. Athletes	38%	24%	36%

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree

102. The Conduct System has too many rules that are trivial or unrealistic.

1996	70%	19%	10%
1997	65%	22%	11%

103. A military institution requires more conduct rules than other colleges.

1996	85%	7%	8%
1997	78%	12%	8%

104. On the whole, the Conduct System contributes to the mission of the Naval Academy.

1996	72%	18%	10%
1997	68%	20%	10%

105. The administration of the Conduct System is consistent from company to company.

1996	Not asked		
1997	11%	18%	68%

106. Which of the following statements most accurately reflects your opinion of the disciplinary action taken for those found in violation of the Conduct System?

a. Disciplinary action is generally fair and appropriate	22%
b. Disciplinary action is generally too harsh	23%
c. Disciplinary action is generally too lenient	8%
d. Disciplinary action is too inconsistent	43%

To what extent has each of the following had a positive or negative impact on your adherence to the Conduct System?

107. Classmate loyalties and pressures.

1996	22%	40%	38%
1997	25%	40%	32%

108. Your company officer (his/her behavior; the example he/she sets).

1996	40%	45%	15%
1997	38%	45%	15%

109. The stripers in your company and chain of command.

1996	31%	51%	18%
1997	35%	49%	14%

110. Senior Naval Academy leadership (the Superintendent and Commandant).

1996	64%	30%	6%
1997	55%	37%	6%

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
111. Varsity coaching staff.			
1996	32%	62%	6%
1997	28%	62%	8%
112. Workload and time pressures.			
1996	17%	53%	30%
1997	21%	52%	26%

TEAMWORK AND COOPERATION

113. Between midshipmen and company officer.			
1996	36%	32%	32%
1997	43%	27%	27%
114. Between midshipmen and stripers.			
1996	32%	35%	33%
1997	40%	37%	21%
115. Between midshipmen of different racial and ethical groups.			
1996	72%	18%	10%
1997	63%	25%	9%
116. Between male and female midshipmen.			
1996	61%	27%	11%
1997	54%	30%	14%

How are the following groups viewed (in general) by other midshipmen?

	Admired	Neither	Resented
117. Midshipmen who adhere to the Honor Concept in their personal behavior.			
1996	52%	34%	14%
1997	62%	26%	10%
118. Midshipmen who report/formally counsel those they suspect of Honor Concept violations.			
1996	17%	33%	50%
1997	22%	34%	42%
119. Midshipmen who adhere to the rules of the Conduct System.			
1996	26%	49%	26%
1997	39%	42%	17%
120. Midshipmen who report incidents of sexual harassment.			
1996	22%	40%	38%
1997	23%	40%	34%

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
121. Midshipmen who report incidents of discrimination.			
1996	Not Asked		
1997	26%	45%	27%

PERFORMANCE GRADES (asked for first time)

122. My performance ranking represents a fair assessment of my performance relative to my classmates in my company.

33%	15%	50%

123. My performance grade was adversely affected by my participation in activities that kept me away from my company.

39%	33%	27%

124. Racial/ethnic/gender bias played a part in the assignment of my performance grade.

20%	25%	53%

125. Racial/ethnic/gender bias played a part in the assignment of the performance grades of others in my company.

31%	24%	43%

HUMAN DIGNITY ISSUES (asked for first time)

126. Which of the following most accurately describes your personal experience last year concerning sexual harassment?

2% a. I was a victim, reported the incident, and was satisfied with the action taken.
4% b. I was a victim, reported the incident, and was not satisfied with the action taken.
4% c. I was a victim, but did not report the incident due to fear of reprisal.
4% d. I was a victim, but did not report the incident for another reason.
84% e. I was not subjected to sexual harassment.

NB: 60% of victims did not report the incident.

127. Which of the following most accurately describes your personal experience last year concerning racial/ethnic discrimination?

2% a. I was a victim, reported the incident, and was satisfied with the action taken.
3% b. I was a victim, reported the incident, and was not satisfied with the action taken.
4% c. I was a victim, but did not report the incident due to fear of reprisal.
5% d. I was a victim, but did not report the incident for another reason.
84% e. I was not subjected to racial/ethnic discrimination.

NB: 60% of victims did not report the incident.

128. If you have been the victim of sexual harassment or racial/ethnic discrimination, choose the response which most closely describes the most serious offense:

9% a. Negative comments, remarks, or offensive joke.
3% b. Threatened.
5% c. Physically assaulted.
3% d. Denied a potential reward or benefit.
77% e. Not a victim.

129. If you were a victim of harassment or discrimination, to whom would you most likely report the incident (if you were an actual victim, to whom did you report the incident?):

5% a. CMEO Office
22% b. HERO
25% c. Midshipman Chain-of-Command
21% d. Company Officer/Senior Enlisted
22% e. No one

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
130. At the Naval Academy, problems are openly confronted and solved.			
1996	48%	20%	32%
1997	40%	29%	28%
131. I feel comfortable reporting "bad news" as well as "good news" up the line.			
1996	49%	20%	31%
1997	48%	27%	22%
132. Midshipmen get criticized more quickly than praised.			
1996	84%	10%	6%
1997	70%	20%	8%
133. In the last year, firsties set a proper example for others.			
1996	19%	22%	59%
1997	46%	31%	20%
134. Special considerations for varsity athletes are appropriate and fair.			
1996	51%	19%	30%
1997	39%	26%	32%
135. Special considerations for other groups (ECAs) are appropriate and fair.			
1996	47%	27%	26%
1997	36%	34%	27%
136. Prejudice against women is a serious problem at the Naval Academy.			
1996	19%	20%	62%
1997	18%	24%	55%

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
137. Inappropriate physical advances of a sexual nature are a serious problem at USNA.			
1996	13%	22%	65%
1997	12%	27%	58%
138. Racial prejudice is a serious problem at USNA.			
1996	8%	15%	76%
1997	10%	22%	66%
139. Alcohol abuse is a serious problem at USNA.			
1996	46%	24%	30%
1997	40%	28%	29%
140. Drug abuse is a serious problem at USNA.			
1996	5%	13%	82%
1997	7%	19%	71%
141. Sexual harassment is a serious problem at USNA.			
1996	13%	18%	70%
1997	13%	22%	62%
142. Violation of the Honor Concept is a serious problem at USNA.			
1996	17%	25%	57%
1997	15%	29%	53%
143. I feel a personal responsibility to uphold the Naval Academy's reputation.			
1996	87%	9%	4%
1997	80%	13%	5%
144. I am personally distressed when negative news appears in the media about USNA.			
1996	83%	9%	8%
1997	72%	17%	8%
145. I am proud of the Naval Academy.			
1996	89%	7%	4%
1997	79%	13%	5%
146. I am proud of my accomplishments thus far at USNA.			
1996	82%	11%	7%
1997	74%	13%	5%
147. Racial prejudice has impeded my development as a midshipman.			
1996	6%	11%	83%
1997	7%	17%	73%

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
148. Sexual harassment has impeded my development as a midshipman.			
1996	8%	10%	82%
1997	9%	17%	72%
149. The striper selection process is fair and generally free of bias.			
1996	Not Asked		
1997	19%	31%	47%
150. I am comfortable sleeping in Bancroft Hall with my door unlocked.			
1996	86%	4%	10%
1997	81%	10%	5%
151. Consensual sexual misconduct is a common occurrence in Bancroft Hall.			
1996	45%	23%	33%
1997	30%	39%	28%
152. Opinion of the overall environment for women at USNA compared to other colleges.			
1996	41%	21%	38%
1997	36%	28%	34%
153. Opinion of the overall environment for minorities at USNA compared to other colleges.			
1996	69%	26%	5%
1997	56%	36%	5%

154. The training provided concerning CMEO issues is:

31% a. Good/adequate

33% b. Good/adequate but the midshipmen do not take the "head knowledge" and make it "heart knowledge".

12% c. Not good and cause more problems.

19% d. Not necessary.

For questions 155-171 midshipmen were asked about the impact USNA is having on the following aspects of their development.

155. Your Intellectual development.			
1996	92%	5%	3%
1997	82%	11%	4%
156. Your systematic/logical problem solving ability.			
1996	91%	7%	2%
1997	79%	14%	3%
157. Learning to think for yourself.			
1996	65%	14%	21%
1997	65%	16%	15%

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
158. Your self-discipline.			
1996	84%	10%	6%
1997	78%	14%	5%
159. Your leadership ability.			
1996	89%	8%	3%
1997	80%	12%	4%
160. Your commitment to a military career.			
1996	60%	21%	20%
1997	56%	23%	17%
161. Your desire to serve your country (whether or not in the military).			
1996	73%	20%	8%
1997	72%	19%	6%
162. Your moral/ethical awareness (ability to distinguish right from wrong).			
1996	64%	30%	6%
1997	63%	29%	5%
163. Your moral behavior (doing right).			
1996	64%	29%	7%
1997	64%	27%	6%
164. Your ability to act under pressure.			
1996	93%	5%	1%
1997	84%	10%	1%
165. Your ability to organize your time.			
1996	90%	7%	3%
1997	81%	13%	4%
166. Your social development.			
1996	24%	14%	62%
1997	35%	17%	45%
167. Your level of physical fitness.			
1996	81%	13%	6%
1997	73%	17%	6%
168. Your ability to communicate clearly.			
1996	85%	12%	4%
1997	74%	19%	5%

	Fav/Pos/Agree	Neu	Unfav/Neg/Disagree
169. Your comfort with persons of other racial and ethnic groups.			
1996	66%	30%	4%
1997	62%	30%	4%
170. Your comfort with members of the opposite sex.			
1996	51%	32%	17%
1997	51%	31%	15%
171. Your self-confidence overall.			
1996	81%	12%	7%
1997	73%	16%	8%
172. Considering everything, how would you rate your overall satisfaction with USNA?			
1996	76%	11%	12%
1997	70%	15%	12%

173. As things stand right now, which of the following statements most closely reflect your career intentions upon graduating from USNA?

a. I intend to serve in the Naval service until retirement.
b. I intend to serve in the Naval service beyond obligation, but am unsure how long.
c. I am undecided about Naval service after my obligation
d. I intend to leave the Naval service after my obligation.

	a.	b.	c.	d.
1996	13%	24%	38%	24%
1997	13%	24%	41%	17%

Very respectfully,

G. F. GOTTSCHALK

APPENDIX D. 1997 VALUES SURVEY[1]

Core American Values	Q#	Value Response	On Entry	Post-Plebe Sum	Post-Plebe Year	Middle of 3/c Year	End of 2/c Year	End of 1/c Year
The right of the people to keep and bear arms	109	Hi Importa	62.3	69.6	63.6			
Civilian control of the military	111	Hi Importa	47.7	65.4	63.3			
Freedom of the press	108	Hi Importa	71	79.7	73.6			
Each citizen's responsibility for the country's defense	112	Hi Importa	77.7	83.3	76.6			
Ability to vote in local, state, and federal elections	110	Hi Importa	93.4	94.6	90.3			
Freedom of religion	106	Hi Importa	92.8	93.7	91.5			
Freedom of speech	107	Hi Importa	90.5	93.4	89.8			
Dedication to serving the United States, even to risking your life in its defense	100	Hi Importa	88.1	93.7	90.1			
The Constitution of the United States	105	Hi Importa	92.3	95.5	91.7			
Treating all sailors and marines fairly	113	Hi Importa	95.4	95.8	94			
Average for Core American Values			81.1	86.5	82.5			
Core Sailor and Marine Values								
Commitment to working a member of a team	101	Hi Importa	88.8	95.5	83.6			
Loyalty to the United States Naval Service	96	Hi Importa	89.1	94	87.8			
Loyalty to your unit or Organization	97	Hi Importa	94.2	96.1	89.2			
Personal Drive to Succeed in your work and advance	103	Hi Importa	94.7	96.4	89.2			
Building and maintaining physical fitness and stamina	119	Hi Importa	88.3	95.5	85.9			
Putting good of fellow sailors or marines, unit and nation before your own welfare	99	Hi Importa	90.8	95.2	92.3			
Dedication to doing your job and doing it well	102	Hi Importa	95.1	98.2	90.9			
Being disciplined and courageous in battle	104	Hi Importa	91.1	95.8	88.4			
Average for Core Sailor and Marine Values			91.5	95.8	88.4			
Other Core Military Values								
Exhibiting excellent military bearing and appearance	116	Hi Importa	82.5	91	79.2			
Working with others with tact and military courtesy	115	Hi Importa	84.1	89.6	82.8			
Communicating effectively in writing and speaking	114	Hi Importa	84.2	92.5	82.8			
High moral standards both on and off duty	117	Hi Importa	92.4	95.8	92.9			
Using initiative and imagination in solving problems	118	Hi Importa	88.9	95.2	85.3			
Being able to relax and enjoy yourself	120	Hi Importa	88.1	89.3	90.1			
Taking responsibility for your actions and decisions	98	Hi Importa	97	98.8	97.5			

[1] Source: USNA Institutional Research Center

Average for Other Core Military Values			88.2	93.2	87.2			
AVERAGE FOR BROAD DOMAIN CORE VALUES			86.9	91.8	86.0			
	BROAD DOMAIN: PROGRAM GOALS							
Specific Value: Academic Achievement								
Being satisfied with poor grades	5	Dislike	73.5	77.9	50.6			
Being proud of poor grades	84	Dislike	74.3	77.9	55.4			
Paying no attention to lectures and textbooks that are hard	26	Dislike	69.3	85.4	46.7			
Striving for the top grade-point average in the group	48	Admire	82.6	89.6	64.9			
Doing well in school	21	Admire	93.3	95.8	81.7			
Working hard to achieve academic honors	36	Admire	95.9	98.8	89.9			
Average for Academic Achievement			81.5	87.6	64.9			
Specific Value: Intellectualism,								
Having little interest in arts, theater, music and other cultural activities	68	Dislike	46.8	55.8	47.9			
Being uninterested in national and world affairs	17	Dislike	57.3	70.1	48.1			
Having no knowledge of current events	40	Dislike	71	79.7	67.2			
Keeping abreast of current events	77	Admire	89.3	91.3	78.5			
Keeping up with world news thru regular reading or watching informative programs	86	Admire	89.3	93.4	75.5			
Striving to gain new knowledge about the world	60	Admire	95.9	98.8	89.2			
Average for Intellectualism			74.9	81.5	67.7			
Specific Value: Physical Development								
Being awkward in bearing and walk	62	Dislike	43.4	50.1	36.1			
Being unskilled in any form of athletics	81	Dislike	45.3	59.4	49			
Avoiding any form of exercise	89	Dislike	85.6	93.7	84			
Having good muscular coordination	19	Admire	89.2	90.7	78.8			
Keeping in good physical shape	27	Admire	96	97.9	90.7			
Developing physical strength and agility	54	Admire	96.9	98.2	89.2			
Average for Physical Development			76.1	81.7	71.3			
Specific Value: Social Skills								
Always behaving properly in public	24	Admire	72.9	84.5	73.9			
Being informed in proper etiquette	71	Admire	82.2	90.4	79.3			
Having bad manners	13	Dislike	75.1	87.5	79			
Being ignorant of the rules of proper behavior	87	Dislike	79.2	86.6	74.7			
Dressing and acting in a way appropriate to the occasion	42	Admire	79.6	84.8	78			
Being discourteous	79	Dislike	88.5	91	79.3			
Average for Social Skills			79.6	87.5	77.4			

Specific Value: Leadership					
Enjoying great prestige in the community	94	Admire	62	62.1	52.5
Being unable to exert any influence on things around oneself	64	Dislike	70.3	75.2	63.3
Not taking pride in one's achievements	90	Dislike	70.8	78.2	56.9
Being in a position to command respect from others	73	Admire	74.7	72.5	66.6
Being content with an inferior position all one's life	82	Dislike	73.9	81.8	64.9
Being looked up to by others	29	Admire	81.3	83.3	74.5
Average for Leadership			72.2	75.5	63.1
AVERAGE FOR BROAD DOMAIN: PROGRAM GOALS			76.8	82.7	68.9
	BROAD DOMAIN: TENDERMINDEDNESS				
Specific Value: Kindness					
Hurting other people's feelings	11	Dislike	69.5	63.9	54.4
Ridiculing other people	34	Dislike	74	76.7	63.9
Ignoring the needs of other people	46	Dislike	87.7	94	79.3
Being concerned about the happiness of other people	93	Admire	89.3	92.5	81.7
Going out of one's way to help someone new feel at home	23	Admire	93.6	93.7	84.2
Finding ways to help others less fortunate	70	Admire	92.6	96.4	89.6
Average for Kindness			84.5	86.2	75.5
Specific Value: Religiousness					
Being an atheist	1	Dislike	43.6	40.6	39.4
Treating man rather than God as the measure of all things	56	Dislike	48.1	45.4	40.7
Denying the existence of God	44	Dislike	57.3	54.9	48.5
Having faith in a being greater than man	92	Admire	67.7	68.1	54
Always living one's religion in one's daily life	37	Admire	74.9	78.2	65.4
Saying one's prayers regularly	66	Admire	78.6	80.2	68.1
Average for Religiousness			61.7	61.2	52.7
Specific Value: Self Control					
Becoming so angry that other people know it	31	Dislike	27.2	29.6	23.6
Getting upset when things don't go well	9	Dislike	24.3	30.1	22.6
Expressing one's anger openly and directly when provoked	58	Dislike	27.4	32.2	22.8
Not expressing anger, even when one has a reason for doing so	50	Admire	38	40.3	27.8
Never losing one's temper for any reason	3	Admire	56.7	55.2	51.9
Replying to anger with gentleness	38	Admire	60.1	50.7	50.2
Average for Self Control			39.0	39.7	33.2

AVERAGE FOR BROAD DOMAIN: TENDERMINDEDNESS			61.7	62.4	53.8			
Specific Value: Independence								
Being a non-Conformist	75	Admire	21.9	13.1	24.3			
Acting so as to fit in with other peoples' way of doing things	15	Dislike	24.2	27.8	27.2			
Thinking and acting freely, without social restraints	33	Admire	34.9	20	26.1			
Being careful not to express an idea that might be contrary to what other people believe	7	Dislike	28.7	26.6	29.9			
Keeping one's opinions to oneself when they differ from those of the group	52	Dislike	28.7	28.4	29			
Living one's life independent of others	95	Admire	54.9	40	53.9			
Average for Independence			32.2	26.0	31.7			
		BROAD DOMAIN: INTEGRITY						
Specific Value: Cheating								
Letting a friend have access to material which he or she shouldn't have	76	Dislike	61.2	85.4	62.7			
Carefully documenting sources used in a report	10	Admire	78.6	89.3	79.3			
Using work done by others as one's own without acknowledgment	8	Dislike	90.6	96.1	88.6			
A student who is allowed to grade his own paper reporting a higher grade than earned	4	Dislike	90.9	96.1	90.7			
Average for Cheating			80.3	91.7	80.3			
Specific Value: Ethics								
Returning an expensive personal gift given by a subordinate	25	Admire	27.2	38.8	35.5			
Requiring personal favors by subordinates as a demonstration of loyalty and cooperation	16	Dislike	73.6	88.7	77.8			
Allowing wasteful or inefficient practices to continue without protest, criticism or report	74	Dislike	85.1	94	73.4			
Taking money for one's vote in an election	12	Dislike	93.7	97.3	89.2			
Average for Ethics			69.9	79.7	69.0			
Specific Value: Honesty								
Speaking one's mind truthfully without regard to the circumstances	78	Admire	43.6	47.2	41.5			
Volunteering information concerning wrong-doing, even if friends are involved	85	Admire	29.6	43	32			
Testifying against friends, if need be, that the truth be known	65	Admire	39.1	64.2	45.9			
Telling falsehoods in order to help other people	67	Dislike	48	72.2	50			

Telling white lies	88	Dislike	53.4	77.9	54.4			
Always telling the truth, even though it may hurt oneself or others	57	Admire	55.8	75.2	58.7			
Using others' property without permission	53	Dislike	60.7	71	50			
Using a false ID card to get into restricted places	63	Dislike	61.1	86.9	66.8			
Never telling a lie, even though to do so would make the situation more comfortable	55	Admire	66.1	81.8	63.1			
Being dishonest in harmless ways	59	Dislike	63.5	80.9	63.1			
Going out of one's way to bring dishonest people to justice	61	Admire	57	60.9	43.2			
Always representing one's true thoughts and feelings honestly	43	Admire	75.9	79.1	70.7			
Stealing when necessary	49	Dislike	71	75.8	64.7			
Presenting oneself completely and honestly even if it is not necessary to do so	69	Admire	63.7	73.1	61.9			
Never cheating or having to do with cheating situations even for a friend	47	Admire	80.2	91	79			
Sticking up for the truth in all circumstances	51	Admire	87.5	94	81.3			
Deceiving others	41	Dislike	80.5	88.1	74.1			
Taking things that don't belong to one	45	Dislike	94.1	94.3	85.3			
Average for Honesty			62.8	75.4	60.3			
Specific Value: Not Lying								
Giving an evasive answer to an embarrassing and difficult question	39	Dislike	22.8	32.8	24.5			
Praising other people in extravagant superlatives for minor contributions	83	Dislike	40.7	42.7	34.6			
Fabricating difficult to obtain information on a report	20	Dislike	70.5	86.6	77.2			
Admitting mistakes publicly	32	Admire	73.8	79.7	66.6			
Answering truthfully even if it may result in punishment	2	Admire	79.4	91	80.5			
Leaving a message to a roommate that one is going somewhere; then deliberately going elsewhere	91	Dislike	74.5	84.5	66			
Keeping one's word that one will stay within expected limits	14	Admire	84.7	84.5	76.3			
Average for Not Lying			63.8	71.7	60.8			
Specific Value: Non-Toleration								
Being openly critical of practices which one considers unethical	22	Admire	43.3	40.6	42.7			
Warning associates that one will report their misconduct	28	Admire	36.9	46	37.1			
Asking a peer for an explanation of an apparently dishonest act	18	Admire	55	62.4	62.7			

Reporting to the proper authorities a peer who committed an apparently dishonest act	35	Admire	34.9	51.3	34.6			
Using evasive wording to mislead an investigator, in order to protect a friend	72	Dislike	46.5	77.3	59.8			
Pressuring one's associates to overlook minor acts of misconduct by one's friends	30	Dislike	61.9	81.5	61.2			
Average for Non-Toleration			46.4	59.9	49.7			
Specific Value: Not Stealing								
Using government supplies for personal needs at home	80	Dislike	66.6	83	63.1			
Returning excessive change, given in error by a clerk	6	Admire	82.9	89.9	81.5			
Average for Not Stealing			74.75	86.5	72.3			
AVERAGE FOR BROAD DOMAIN: INTEGRITY			66.3	77.5	65.4			

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