

ARMY PROFESSION: HOW EFFECTIVE LEADERSHIP
REINFORCES AN ETHOS OF TRUST

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General Studies

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The opinions and conclusions expressed herein are those of the student author and do not necessarily represent the views of the U.S. Army Command and General Staff College or any other governmental agency. (References to this study should include the foregoing statement.)

ABSTRACT

ARMY PROFESSION: HOW EFFECTIVE LEADERSHIP REINFORCES AN ETHOS OF TRUST, by Major Chris D. Hanna, 119 pages.

This study researched the Army Capabilities Integration Center Warfighting Challenge 9, Learning Demand 6: How does the Army reinforce an ethos of trust that supports honorable service, military expertise, stewardship, and *esprit de corps*? The research first pursued a definition of “ethos of trust.” The second endeavor was the derivation of an initial Trust Building Model, which categorized the attributes and competencies from the Leadership Requirements Model from Army Doctrine Reference Publication 6-22, *Army Leadership*, into three categories. The first category is the attributes and competencies that were found to be unlikely to build trust, the second category identified those attributes and competencies that have the potential to build trust but appeared to be context-dependent, and the third category is the attributes and competencies that appeared to build trust independent of the context. A case study was then conducted including Matthew B. Ridgway, Richard D. Winters, and Harold G. Moore in the execution of their duties in the 8th Army, Easy Company, and the 1/7 Cavalry respectively. The attributes and competencies that they exhibited were identified and compared to the initial Trust Building Model, providing insight into the trust building nature of their leadership, and the resulting ethos of trust.

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ACRONYMS

ADRP	Army Doctrine Reference Publication
ARCIC	Army Capabilities Integration Center
LRM	Leadership Requirements Model
LMX	Leader-Member Exchange
TBM	Trust Building Model
U.S.	United States

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CHAPTER 1

INTRODUCTION

There is . . . one thing, if removed, will destroy the most powerful government, the most successful business, the most thriving economy, the most influential leadership . . . it is the least understood, most neglected, and most underestimated possibility of our time. That one thing is trust.¹

— Stephen M.R. Covey, *The Speed of Trust*

Background

The status of the United States (U.S.) Army as a profession may be under attack from within. Self-inflicted wounds due to publicized accounts of ethical misconduct among leadership and congressional hearings on the Army’s ability to address sexual assault issues could contribute to a decline of trust, the bedrock of the profession.² Trust is necessary for the Army to maintain the status as a profession because “a profession is a trusted, disciplined, and relatively autonomous vocation.”³ The nature of the Army as a military department subordinate to civilian authorities means that the absence of this trust results in suspicion and oversight.⁴ The result is a loss of autonomy, and an inability to “accomplish our mission in the right way.”⁵ Additionally, a decline of trust could pose a direct threat to the Army’s ability to execute unified land operations with mission

¹ Stephen M. R. Covey, *The Speed of Trust: The One Thing That Changes Everything* (New York: Free Press, 2006), 1.

² Department of the Army, Army Doctrine Reference Publication (ADRP) 1, *The Army Profession* (Washington, DC: Department of the Army, 2015), 3-1.

³ *Ibid.*, 1-1.

⁴ Covey, *The Speed of Trust*, 5.

⁵ Department of the Army, ADRP 1, 1-3.

command. The requirement to build cohesive teams through mutual trust is essential, and is identified as the first of six principles in Army Doctrine Reference Publication (ADRP) 6-0, *Mission Command*.⁶ For mission command to be successful, an Army culture of trust must be defined, developed, and sustained. The focus of this study is to help the Army Capabilities Integration Center (ARCIC) answer the following problem statement: “How does the Army improve soldier, leader, and team performance such that missions are accomplished while remaining committed to the Army professional ethic?”⁷ In order to assist with addressing this problem, ARCIC asks the following question: “How does the Army reinforce an ethos of trust that supports honorable service, military expertise, stewardship, and esprit de corps?”⁸ This research defines ethos of trust, develops a Trust Building Model (TBM), and uses the case study method to assess the ability of effective Army leadership to reinforce an ethos of trust.

Army doctrine defines trust as “assured reliance on the character, ability, strength, or truth of someone or something.”⁹ While a definition is helpful, the discussion of trust in Army doctrine is centered on how trust protects the Army as a profession and how trust is critical to mission command. Describing trust and the benefits of trust does little to help the leader learn how to achieve trust in organizations. Achieving trust in

⁶ Department of the Army, Army Doctrine Reference Publication (ADRP) 6-0, *Mission Command* (Washington, DC: Department of the Army, 2012), 1-3.

⁷ Army Capabilities Integration Center, “Army Warfighting Challenges (AWFC),” accessed September 9, 2015, <http://www.arcic.army.mil/Initiatives/army-warfighting-challenges.aspx>.

⁸ Ibid.

⁹ Department of the Army, Army Doctrine Publication (ADP) 1, *The Army* (Washington, DC: Department of the Army, 2012), 2-2.

organizations can be an extremely challenging and complex process. Stephen M.R. Covey (2006) argues that trust is the one thing that “has the potential to create unparalleled success.”¹⁰ He also asserts that trust is woefully misunderstood, and often outright neglected.¹¹ With that said, Covey’s book, similar to Army doctrine, is more focused on the benefits of trust, rather than on the difficulties and challenges of achieving trust in organizations. This study attempts to fill the gap of available literature addressing how Army leaders build trust in Army organizations. Army leaders should endeavor to build trust in their organizations, and be able to identify the challenges to achieving trust in the U.S. Army culture, so that they can overcome those challenges and reach the organization’s full potential. The more Army leaders know about how to achieve trust within organizations, the more capable Army leaders will be in leading change and executing mission command, while protecting the status of the Army as a profession.

Leaders and their influence have a direct impact on the status of the Army as a profession. ADRP 6-22, *Army Leadership*, provides a leadership model as a tool to help guide the effectiveness of the Army profession, and to establish the requirements that are “needed regardless of the level of leadership, mission, or assignment.”¹² The U.S. Army Leadership Requirements Model (LRM) identifies “what a leader is (attributes) and what a leader does (competencies).”¹³ Figure 1 is the LRM as depicted in ADRP 6-22.

¹⁰ Covey, *The Speed of Trust*, 1.

¹¹ *Ibid.*

¹² Department of the Army, Army Doctrine Reference Publication (ADRP) 6-22, *Army Leadership* (Washington, DC: Department of the Army, 2012), 1-4.

¹³ *Ibid.*, 1-6.

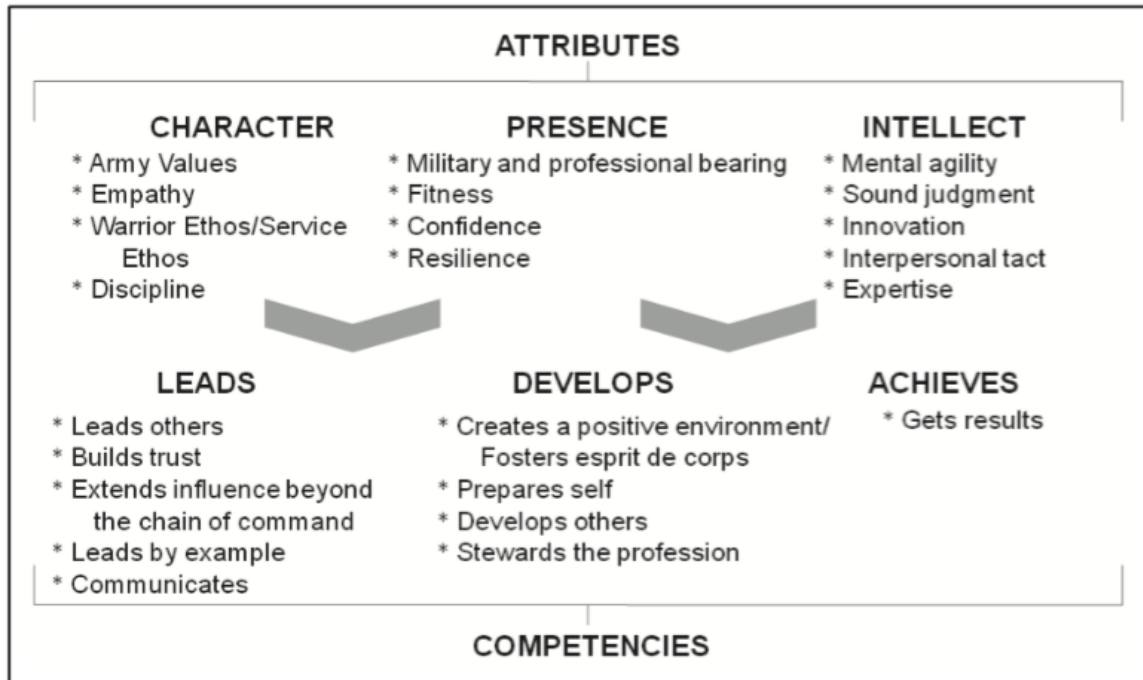


Figure 1. Leadership Requirements Model

Source: Department of the Army, Army Doctrine Reference Publication (ADRP) 6-22, *Army Leadership* (Washington, DC: Department of the Army 2012), 1-4.

The attributes and competencies of the LRM provide the requirements the Army has identified as necessary to be effective leaders in the modern Army. The Army has spared little in the process of framing an exacting model.¹⁴ “The Leadership Requirements Model was extensively developed from research and an expert panel of leaders over a several-year effort. It went through the scrutiny of scientific validation and multiple reviews by senior leaders and Army-wide staffing. It continues to undergo empirical validation.”¹⁵

¹⁴ Tom Guthrie, “Center for Army Leadership’s Response to ‘Empirically Based Leadership,’” *Military Review* 93, no. 1 (January-February 2013): 67-72.

¹⁵ *Ibid.*, 67.

A cursory review of the LRM indicates that the model addresses trust as a competency. The competency “Leads” has a sub-competency “Builds Trust.” Closer examination of the “builds trust” competency in ADRP 6-22, reveals that “leaders build trust with their followers and those outside the organization by adhering to the leadership competencies and demonstrating good character, presence, and intellect.”¹⁶ Character, presence, and intellect are the three sub-components of the attributes on the LRM as illustrated in figure 1. In effect, according to ADRP 6-22, the Army leader must demonstrate all of the attributes and adhere to all of the competencies from the LRM in order to successfully build trust. Therefore, in order to fully assess the ability of effective Army leadership to reinforce an ethos of trust, this paper assesses the trust building nature of all of the attributes and competencies from the LRM.

Understanding trust in the Army is the first step in identifying how the Army can reinforce an ethos of trust. Albert Einstein is noted for having said that if he only had one hour to save the world, he would use fifty-five minutes of that hour defining the problem.¹⁷ If this problem for the Army resides in the ability to achieve an ethos of trust, then ethos of trust must be defined in Army doctrine, and better understood by Army leaders. By defining ethos of trust, the researcher can more readily assess the ability of effective Army leadership to achieve an ethos of trust. If Army leaders lead in accordance with Army doctrine, but their efforts do not result in an ethos of trust, then research may indicate that gaps exist in the current Army leadership model between developing

¹⁶ Department of the Army, ADRP 6-22, 6-7.

¹⁷ J. Daniel Cougar, *Creative Problem Solving and Opportunity Finding* (Danvers, MA: Boyd and Fraser, 1995), 165.

effective leadership and achieving an ethos of trust. If ethos of trust is the desired outcome, then Army doctrine should be the guide.

The recently published update to ADRP 1, *The Army Profession*, includes a new chapter on the Army Ethic. The Army Ethic “establishes the standard and expectation for all to serve as stewards of the Army Profession” and “is expressed in our moral principles, Army Values, oaths and creeds, laws and regulations, and customs, courtesies, and traditions—all embedded within the Army culture of trust.”¹⁸ The foreword in ADRP 1 states that soldiers “are citizens whose Character, Competence, and Commitment exemplify the ideals espoused by the Army Ethic. In living by and upholding the Army Ethic, we are Trusted Army Professionals.”¹⁹ The fact that the foreword identifies a link between the Army Ethic, Army leadership and trust suggests that an evaluation of the impact on related Army doctrine publications is required to ensure alignment with the Army Ethic. Army leaders, in the execution of their duties, exhibit attributes and competencies from the LRM that are identifiable to the observer. How well does the existing Army Leadership Requirements Model reinforce an ethos of trust? The process of identifying trust building attributes and competencies in organizational leadership, uncovering the trust building attributes and competencies of previous Army leaders, and comparing them to the LRM, assesses the LRM’s effectiveness at reinforcing an ethos of trust.

¹⁸ Department of the Army, ADRP 1, 2-1.

¹⁹ *Ibid.*, Foreword; 2-6. ADRP 1 identifies trusted army professionals as honorable servants of the nation-professionals of character, Army experts-competent professionals, and stewards of the Army profession-committed professionals.

Definitions

In this study, many terms have multiple commonly accepted definitions, or were not previously defined, but are defined as part of the research design. The terms that require definition for this study are: attribute, competency, ethos of trust, external trust, internal trust, propensity, trust, and trustworthiness. The definitions of terms follow:

Attribute—a usually good quality or feature that someone or something has.²⁰

Competency—an ability or skill.²¹

Ethos of Trust—a professional culture of trust, where trust is the common spirit, the foundation of the organization, and both the bond between all soldiers (internal) and between the Army and the American people (external).²²

External Trust—the confidence and faith that the American people have in the Army to serve the Nation ethically, effectively, and efficiently.²³

Internal Trust—reliance on the character, competence, and commitment of Army professionals to live by and uphold the Army Ethic.²⁴

Propensity—a strong natural tendency to do something.²⁵

²⁰ Merriam-Webster, “Attribute,” accessed April 23, 2016, <http://www.merriam-webster.com/dictionary/attribute>.

²¹ Merriam-Webster, “Competency,” accessed April 23, 2016, <http://www.merriam-webster.com/dictionary/competency>.

²² Ethos of trust is defined by the author as part of the research design of the present study using Army doctrine. ADRP 1 attributes General George C. Marshall with the term “common spirit,” which is generally associated with *esprit de corps*.

²³ Department of the Army, ADRP 1, Glossary-2.

²⁴ Ibid.

Trust—assured reliance on the character, ability, strength, or truth of someone or something.²⁶

Trustworthiness—able to be relied on to do or provide what is needed or right: deserving of trust.²⁷

Assumptions

The main assumption for this research is that trust is a misunderstood and underestimated quality; that most people think they know what trust is intuitively, yet their understanding is actually poor. Another assumption is that reliable data on trust in Army organizations can be recognized in historical documents, and operationalized in the case study method. A final assumption is that trust will continue to play not only an important role in future Army organizations, but a role that is critical.

Scope

The data collected on the individual leaders in the case study starts and ends with the time that the individual is involved in the Army unit for which the individual leader is analyzed. Essentially, the time that the individual entered the organization until the time that the individual departed. This timeframe provides for situations where the individual leader was assigned to multiple positions throughout a given tenure in the organization.

²⁵ Merriam-Webster, “Propensity,” accessed April 23, 2016, <http://www.merriam-webster.com/dictionary/propensity>.

²⁶ Department of the Army, ADP 1, 2-2.

²⁷ Merriam-Webster, “Trustworthiness,” accessed April 23, 2016, <http://www.merriam-webster.com/dictionary/trustworthiness>.

Limitations

This study assesses the attributes and competencies of the LRM individually using the case study method. Each of the attributes and competencies are categorized under the sub-headings that are generally applicable to all of the attributes and competencies under the given sub-heading. The conceptual nature of the description for each attribute and competency leads to overlap and redundancy between the attributes and competencies, increasing the difficulty in separating and assessing them.

Delimitations

This is a thesis on trust in Army organizations, not trust in organizations in general, therefore, only Army leaders are selected for the individual cases to provide the context for the case study. The selected Army leaders are only assessed during their given time in the identified organization, not for the span of their career. This is in order to provide a manageable amount of research documents to facilitate the thesis within the given timeframe. Finally, U.S. Army leader development doctrine is purposefully excluded from the literature review and research design to limit the scope. Leadership development doctrine is not considered necessary to answer the research questions identified in this thesis.

Significance of the Study

Changes and updates to an organization's professional ethic necessitates a review of the organization's leadership doctrine. This study may indicate that the leadership doctrine needs updating, and therefore may assist with a roadmap for that change. With the growing emphasis on trust in the Army, as evidenced by ADRP 1, ADRP 6-0, and

ADRP 6-22, and the emergence of trust in modern leadership theory, empirical research efforts on the relationship between leadership, trust, and Army organizations should be in high demand. Colonel Tom Guthrie summarized the matter in his 2013, *Military Review* article, when discussing the LRM. “Continued discourse on the Army leadership model is vital to sustaining an effective model of requirements. Thus, continued research, review articles, discussion papers, and criticism are necessary.”²⁸ The scope, research design, and analysis in this study attempt to serve as an earnest endeavor to contribute to sustain an effective model of requirements.

The purpose of this study is to better understand how effective Army leadership can maintain the Army as a profession by reinforcing an ethos of trust. The primary research question is: How well does the existing Army Leadership Requirements Model reinforce an ethos of trust? The secondary research questions are:

1. What is the definition of ethos of trust within the Army profession?
2. Which attributes and competencies build trust?
3. How do leader attributes and competencies reinforce an ethos of trust?

The answer to these questions furthers research into the ARCIC challenge of how to improve soldier, leader, and team performance such that missions are accomplished while remaining committed to the Army profession.

This study first seeks to assist the U.S. Army by defining “ethos of trust.” The study also seeks to determine the trust building qualities of the attributes and competencies that are currently present in the LRM, and identify any trust building attributes and competencies that are not in the LRM. Historical accounts of selected

²⁸ Guthrie, “Center for Army Leadership’s Response,” 72.

former Army leaders in the execution of their duties are analyzed to understand the impact that their attributes and competencies had on the ethos of trust in their organizations. Therefore, the objective of this analysis is to better understand how Army leaders reinforce an ethos of trust in Army organizations.

CHAPTER 2

LITERATURE REVIEW

Introduction

This review begins with an overview of trust theory, with emphasis on trust in leadership and organizations. Army doctrine is then reviewed for foundational concepts related to trust, leadership, and the Army profession. Army surveys and reports are evaluated to gain relevant insights from the field on the topic of trust. The Army's professional journal, *Military Review*, is assessed to establish the relevant groundwork that has been paved in relation to the topics of this study. Selected books that discuss trust extensively and are determined to be sufficient to provide a pertinent body of knowledge on trust are included. The literature review concludes with a section on leadership, which comprises three prominent leadership approaches (theories) relative to the role trust plays in them: Transformational Leadership, Servant Leadership, and Leader-member Exchange Theory.

Trust Theory

An introduction to trust theory would be remiss without addressing the current challenges facing trust research. According to Peter Ping Li (2012), editor-in-chief of the *Journal of Trust Research*, there are three primary challenges.²⁹ There is a “lack of a general theory as the platform or base for trust research,” a lack of a “widely accepted

²⁹ Peter Ping Li, “When Trust Matters the Most: The Imperative for Contextualizing Trust Research,” *Journal of Trust Research* 2, no. 2 (2012): 101.

definition of trust,” and “there is no widely accepted measure of trust.”³⁰ Consequently, trust has been defined many ways, and trust research is both “multivariate and multidisciplinary.”³¹ Over the years, the role of trust in organizational outcomes has been researched, and the topic of trust permeates journals from business management and leadership, to organizational psychology and socio-economics. The topics of research are diverse, and the interest in trust, as evidenced by the *Journal of Trust Research*, continues to grow.

Trust researchers in the past five years have primarily settled on two definitions of trust as a general concept, either in whole or in part and at times combined. Hosmer (1995) defines trust as “the optimistic expectation by one person, group, or firm of the behavior of another person, group, or firm.”³² Rousseau et al. (1998) defines trust as “a psychological state comprising the intention to accept vulnerability based upon positive expectations of the intentions or behavior of another.”³³ More recently, Park and Kim (2012) combined the two definitions and define trust as “a psychological state of one entity (person, group, or organization) involving a willingness to accept vulnerability based on positive expectations of the intentions or behavior of another entity (person,

³⁰ Ibid.

³¹ Masamichi Sasaki and Robert Marsh, *Trust: Comparative Perspectives* (Boston, MA: Brill Academic Publishers, 2012), 1.

³² L. T. Hosmer, “Trust: The Connecting Link Between Organizational Theory and Philosophical Ethics,” *Academy of Management Review* 20, no. 2 (April 1995): 392.

³³ D. M. Rousseau, S. B. Sitkin, R. S. Burt, and C. Camerer, “Not So Different After All: A Cross-Discipline View of Trust,” *Academy of Management Review* 23, no. 3 (July 1998): 395.

group, or organization).”³⁴ Yet another recent definition by Krot and Lewicka (2012) asserts that “trust is the willingness of one party to be vulnerable to the actions of another party.”³⁵ Common themes in these four definitions include both a willingness to be vulnerable, and a degree of expectation. Regardless of the context, trust is generally accepted as a spectrum of vulnerability based on the fulfillment of expectations. While the definitions of trust are varied, an understanding of the variety of definitions of trust, their terms and differences, provides depth to the analysis and findings of trust research.

This study is not grounded in any one theoretical definition, *per se*, and instead uses the Army definition of trust, that trust is “assured reliance on the character, ability, strength, or truth of someone or something.”³⁶ While the Army definition of trust does not address vulnerability, expectations are certainly addressed. According to the Army definition, trust is an assured reliance, meaning expectations are met. Furthermore, the meeting of those expectations requires the following to be appropriately represented: character, ability, strength, and truth. Therefore, by definition, paramount to achieving trust in Army organizations is the ability of soldiers to be adequately capable in character, ability, and strength, and to be fundamentally truthful. Presumably, the Army use of the

³⁴ Won-Woo Park and Sangyun Kim, “The Need of Leader-Subordinate Reciprocal Dyadic Trust to Build the Subordinate’s Trust in the Organization: The Case of Korean Air Pilots,” *The International Journal of Aviation Psychology* 22, no. 2 (2012): 99.

³⁵ Katarzyna Krot and Dagmara Lewicka, “The Importance of Trust in Manager-Employee Relationships,” *International Journal of Electronic Business Management* 10, no. 3 (2012): 224.

³⁶ Department of the Army, ADP 1, 2-2.

term mutual trust employs the same definition of trust, and is the mutual assured reliance on the character, ability, strength, or truth of someone or something.

Trust theory pertaining to organizations is often distinguished in research by the nature of the trust being extra-organizational “trust between organizations” or intra-organizational “trust within organizations.”³⁷ The more common research of organizational trust has been extra-organizational, according to Häkkinen (2012), and “not on trust within organizations or trustworthy behavior in a relational context between individuals.”³⁸ The present study is primarily concerned with intra-organizational trust, or trust within Army organizations, taking a less common approach to research on organizational trust.

Trust is not a new concept, and yet the role of trust in organizations is somewhat underdeveloped and misunderstood. Lyons, Schneider and Stokes (2011) illustrate that “trust, while beneficial to organizations and teams for a variety of reasons, is an elusive construct.”³⁹ Indeed, the elusiveness of trust provides good reason for additional research. Perhaps the greatest motivation to pursue trust as a research endeavor is propelled by the rise of what Covey (2006) calls “a crisis of trust.”⁴⁰ For Covey, the crisis of trust is

³⁷ Sari Häkkinen, “Towards a Trust-Based Model of Leadership Within the Leader-Member Exchange Theory Framework: A Qualitative Study of Leaders’ Trustworthiness in the SME Context” (PhD diss., University of Eastern Finland, 2012), 13.

³⁸ Ibid.

³⁹ Joseph B. Lyons, Tamera R. Schneider, and Charlene K. Stokes, “Predictors and Outcomes of Trust in Teams,” in *Trust in Military Teams*, ed. Neville A. Stanton (Burlington, VT: Ashgate Publishing Company, 2011), 31.

⁴⁰ Covey, *The Speed of Trust*, 10.

seemingly everywhere, particularly in organizations.⁴¹ His book, *The Speed of Trust*, offers a view of trust from the perspective of efficiency, in what he calls “the economics of trust.”⁴² Mr. Covey claims that high trust organizations result in increased production and reduced cost.⁴³ While Covey generally assumes that leadership plays a role regardless of culture, Fairholm (1994) argues that effective leadership in the modern era may be impossible due to the lack of trusting environments.⁴⁴ Fairholm identifies the problem as organizations in America becoming increasingly multicultural, which produces challenges to unity.⁴⁵ His focus is on “the leadership of trust” where “leadership . . . produces a homogenous organization.”⁴⁶ For Fairholm, leadership is a focus on culture, not just on the leader. Whereas Covey emphasizes trust as a critical leader competency, and focuses on how the leader can improve himself and achieve trust as a result, Fairholm argues that achieving trust is not just about the leader.⁴⁷ Both Covey and Fairholm agree, however, that trust is an essential element for organizational leaders and is a learnable dynamic.

⁴¹ Ibid.

⁴² Ibid., 13.

⁴³ Ibid.

⁴⁴ Gilbert W. Fairholm, *Leadership and the Culture of Trust* (Westport, CT: Praeger, 1994), 1.

⁴⁵ Ibid.

⁴⁶ Ibid., 3.

⁴⁷ Covey, *The Speed of Trust*, 27; Fairholm, *Leadership and the Culture of Trust*, 3.

The role of the leader as the primary trust building agent in organizations is certainly not a new topic, and trust theory emphasizing the leadership role in building trust is emerging. Trust is often seen as a critical element in the leader-follower construct. Perhaps the most important highlight from trust theory is the triad of trustworthiness, trust propensity, and context. Of these three, research on trust theory is most commonly distinguished between two distinct schools of thought; trustworthiness and trust propensity.⁴⁸ Merriam-Webster's online dictionary defines trustworthiness as "able to be relied on to do or provide what is needed or right: deserving of trust." Research on trustworthiness focuses on the individual's ability to earn trust from others and foster trust in organizations. Trustworthiness has often been attributed to factors or characteristics of the trustee, with some researchers attributing many characteristics responsible for the trust.⁴⁹ Butler (1991) took ten conditions of trust from previous research (Krippendorff 1980; Weber 1985) and used interviews to assess the value of the conditions in achieving trust. The conditions were availability, competence, consistency, discreetness, fairness, integrity, loyalty, openness, promise fulfillment, and receptivity.⁵⁰ This list, an example representing one of many, exemplifies precedence for using characteristics in research on trust. The same research has also shown that individuals

⁴⁸ Lyons, Schneider, and Stokes, *Trust in Military Teams*, 31.

⁴⁹ John K. Butler, "Toward Understanding and Measuring Conditions of Trust: Evolution of Conditions of Trust Inventory," *Journal of Management* 17, no. 3 (1991): 644; J. J. Gabarro, "The Development of Trust Influence and Expectations," in *Interpersonal Behavior: Communication and Understanding in Relationships*, eds. A. G. Athos and J. J. Gabarro (Englewood Cliffs, NJ: Prentice-Hall, 1978), 290-303; E. E. Jennings, *Routes to the Executive Suite* (New York: McGraw-Hill, 1971).

⁵⁰ Butler, "Toward Understanding and Measuring Conditions of Trust," 648.

possessing high levels of trust characteristics have a higher likelihood of receiving trust from others.⁵¹ That said, trustworthiness is not as simple as ensuring the individual has a certain set of trust factors; the context is also a consideration in trust theory. “Indicators of trustworthiness are likely to be target-or context-dependent. For example, trust of certain individuals may be based on their ability to perform given tasks, their perceived integrity, or a shared past history of a positive nature.”⁵² While some researchers focus on the leader and the context, others focus on the follower.

Whereas the research of trustworthiness is typically focused on an individual’s ability to earn trust through trust characteristics, trust propensity is focused on the inclination of the individual to trust others. Trust propensity is concentrated on subordinates, and includes the willingness of an individual to trust others, particularly leaders. Merriam-Webster’s online dictionary defines propensity as “a strong natural tendency to do something.” In other words, there is a percentage of trust theory that is focused on the natural tendency of individuals to trust others. An aspect of the research on trust propensity, for example, focuses on the ability to predict team trust and outcomes based on the propensity for team members to trust others.⁵³ Lyons, Schneider, and Stokes (2011) demonstrated the possibility of predicting trust in teams based on personality and cognitive ability of the members of the team. The emphasis for their research was on distributed teams in a virtual environment. The team, in their research, is essentially a

⁵¹ R. C. Mayer, J. H. Davis, and F. D. Schoorman, “An Integrative Model of Organizational Trust,” *Academy of Management Review* 20 (1995): 709-734.

⁵² Lyons, Schneider, and Stokes, *Trust in Military Teams*, 32.

⁵³ *Ibid.*, 33.

microcosm of an organization, where the most important contributor to trust are the members of the team, not necessarily the leader.

Still other researchers concentrate less on the leader and follower, and more on the culture of the organization in the context of leader-follower. ⁵⁴ Fairholm (1994) asserts that the tendency in the United States has been to see leadership singularly as the capacity of the individual leader. ⁵⁵ Instead, he reasons, “leadership is not a starring role.” ⁵⁶ He sees leadership as an effort at “shaping culture in which group members can trust each other enough to work together . . . it creates the context within which leaders can lead, followers can find reason for full commitment, and both can achieve their potential.” ⁵⁷ Regardless of the focus of the research, trust is the center of focus increasingly. This study uses the leader-follower construct with the leader’s trustworthiness being the focal point.

While trust research is diverse, there is still much work to be done. Authors Sasaki and Marsh (2012), in their book *Trust: Comparative Perspectives*, assert that “modernization and its attendant social isolation, in the face of massive global changes, underscore the need to reexamine trust in all its multivariate and multidisciplinary character.” ⁵⁸ What can be said is that the most consistent trends that are evidenced in

⁵⁴ B. Avolio, F. O. Walumbwa, and T. J. Weber, “Leadership: Current Theories, Research, and Future Directions,” *The Annual Review of Psychology* 60 (2009): 421-449.

⁵⁵ Fairholm, *Leadership and the Culture of Trust*, 3.

⁵⁶ *Ibid.*

⁵⁷ *Ibid.*

⁵⁸ Sasaki and Marsh, *Trust*, 1.

trust research are the disagreement about the definition of trust, and the significance of trust to leadership, relationships, and organizations. With that said, as Kramer (1999) points out, “an integrative theory of organizational trust continues to elude researchers.”⁵⁹

According to Häkkinen (2012) “most trust research has been done by using quantitative methods and data collection. Recently, several authors have pointed out that qualitative methods for trust research, together with empirical evidence, are necessary for deepening the understanding of especially the leader-follower relationship in an organization.”⁶⁰ Peter Ping Li (2011) said the following in the first issue of the *Journal of Trust Research*. “We have to maintain a proper balance between quantitative and qualitative methods with the former for theory-testing and the latter for theory-building. It is the policy of *Journal of Trust Research* to encourage qualitative methods (such as case study, grounded theory and all other qualitative methods) without the prevailing bias toward quantitative methods.”⁶¹ Case studies on trust, a primarily qualitative method, are commonly focused on the organization as a whole, and the management team of the organization, not on the leader-follower construct. This study adds to the emerging qualitative case study method in trust research.

Trust has a wide range of exposure in research, but gaps still exist. According to McEvily and Tortoriello (2011), additional evidence is needed on the context-specific

⁵⁹ R. M. Kramer, “Trust and Distrust in Organizations: Emerging Perspectives, Enduring Questions,” *Annual Review Psychology* 50 (1999): 569-598.

⁶⁰ Häkkinen, “Towards a Trust-Based Model,” 23.

⁶¹ Peter Ping Li. “The Rigour–Relevance Balance for Engaged Scholarship: New Frame and New Agenda for Trust Research and Beyond,” *Journal of Trust Research* 1, no. 1 (2011): 17.

nature of trust in future research.⁶² This thesis attempts to fill the context research gap through the case study method which analyzes trust from the perspective of organizational leaders, as well as how leadership attributes and competencies impact trust within an organization. More specifically, this particular research involves a case study method about the role of U.S. Army leaders in the Army culture of trust, and how Army leader attributes and competencies build trust and reinforce trust culture. The research questions all center on trust and the critical role trust plays in the Army as a profession.

This study does not pursue a new theory of trust. Instead, this study uses established theoretical framework in a methodology that is underrepresented in the history of trust research. That leaders play the most important role in the trust culture of organizations is at the center of this thesis. The utilization of the underrepresented case study methodology adds context to the leader-centric theory on trust in organizations. As Kramer (2006) claims, “thus far, there is little research that takes into consideration the contextual factors, and there are few naturalistic explorations of trust in real-life settings.” The context-dependent nature of trust has recently gained traction in trust research, with some research teams like Andrei et al. (2010) recommending research on trust rely on contextual definitions and understanding, and “not on the continual search for that unitary theoretical view.”⁶³ These recent developments provide impetus to use case studies to fill

⁶² B. McEvily and M. Tortoriello, “Measuring Trust in Organizational Research: Review and Recommendations,” *Journal of Trust Research* 1, no. 1 (2011): 60.

⁶³ Daniela Andrei, Cătălina Oțoiu, Ana-Ștefania Isailă, and Adriana Băban, “What Does it Mean to Trust Your Team Colleague? An Exploratory Study Using Grounded Theory,” *Cognition, Brain, Behavior. An Interdisciplinary Journal* 14, no. 2 (June 2010): 121-140.

the methodological gap that exists in trust research to date. The theoretical implications, if any, may be that in trust research, theory itself should be secondary to practice.

Army Doctrine

A review of literature on the topic of trust and leadership in U.S. Army organizations begins with Army doctrine, particularly as a result of the primary research question. A natural starting point is ADRP 6-22, *Army Leadership*, which includes the LRM, followed by ADRP 1, *The Army Profession*. These two documents collectively summarize leadership, trust, and the Army ethic. A third document is included to round out the discussion on trust in current Army doctrine, namely ADRP 6-0, *Mission Command*. Leadership development doctrine, specifically ADRP 7-0, *Training Units and Developing Leaders*, is beyond the scope of the research.

Trust

Trust is a common thread in current Army doctrine, and prevalent in three primary documents: ADRP 1, ADRP 6-0, and ADRP 6-22. ADRP 1 highlights trust as the bedrock of the Army Profession; the foremost “essential characteristic.”⁶⁴ The most foundational aspects of trust in ADRP 6-0 include building “cohesive teams through mutual trust” as a principle of mission command, as well as inclusion of trust in the mission command philosophy.⁶⁵ In ADRP 6-22, the key aspects of trust include the leadership competency from the LRM “builds trust,” and the associated description in the

⁶⁴ Department of the Army, ADRP 1, 2-1.

⁶⁵ Department of the Army, Army Doctrine Reference Publication (ADRP) 6-0, *Army Leadership* (Washington, DC: Department of the Army, 2012), 2-1, 1-4.

text.⁶⁶ All three of these documents stress the importance of trust in the Army, the benefits of trust, and a few minor details about how trust is accomplished. The research in this thesis attempts to fill some of the gaps with respect to understanding how trust is accomplished in Army organizations.

Leadership

Army Doctrine Reference Publication 6-22 is the U.S. Army's capstone leadership doctrine, and includes the Army LRM. This publication is the primary resource from which current Army leadership doctrine is evaluated, and definitions extracted. The LRM is explained including all of the attributes and competencies in the model. Specific definitions of leadership, attributes and competencies as they relate to the LRM are selected from this publication.

Army Profession

Army Doctrine Reference Publication 1, *The Army Profession*, contains the problem at the heart of this research. How does the Army reinforce an ethos of trust that supports honorable service, military expertise, stewardship, and *esprit de corps*? While not a primary leadership doctrine, the document has implications for future leaders, as the vision for the Army organization and profession. The fact that the document was recently published provides urgency for further research. This latest edition of ADRP 1 now includes an entire chapter on the Army Ethic; a more detailed and thorough professional ethic for the Army. The Army Profession has five essential characteristics: trust, honorable service, military expertise, stewardship of the profession, and *esprit de corps*.

⁶⁶ Department of the Army, ADRP 6-22, 1-4, 6-7 – 6-8.

These essential characteristics are included in the ARCIC Warfighting Challenge, and relate directly to the Army Values of loyalty, duty, respect, selfless service, honor, integrity, and personal courage. ADRP 1 refers to the Army Values as the “ethical foundation: legal and moral.”⁶⁷ The relationship between the essential characteristics and the Army Values serve as a link between ADRP 1 and ADRP 6-22. The connection between Army leadership and the Army Profession is identified in the doctrine with the statement that “Army leaders, at all levels, are responsible for reinforcing the Army culture of trust and establishing a professional organization and command climate essential for mission command.”⁶⁸

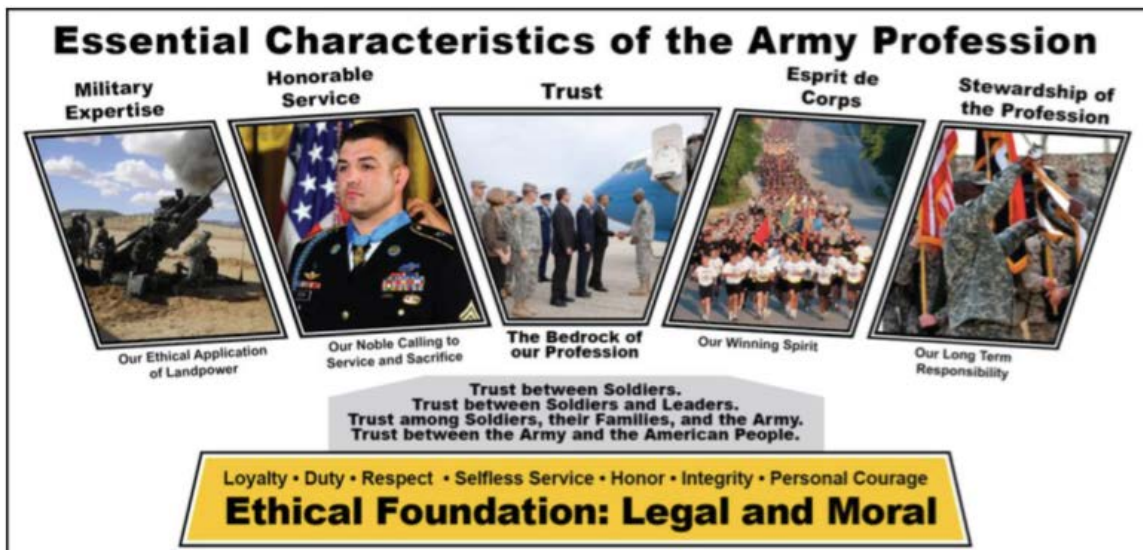


Figure 2. Essential Characteristics of the Army Profession

Source: Department of the Army, Army Doctrine Reference Publication (ADRP) 1, *The Army Profession* (Washington, DC: Department of the Army, 2015), 2-1.

⁶⁷ Department of the Army, ADRP 1, 1-4.

⁶⁸ Ibid., 3-3.

Surveys and Reports

Other resources emphasizing trust, leadership, and the Army profession are U.S. Army surveys and reports. A review of the surveys and reports provides insight into the opinions of current soldiers and the recommendations from the researchers. These surveys and reports include the Center for the Army Profession and Ethic, *Annual Survey of the Army Profession*, the Center for Army Leadership, *Annual Survey of Army Leadership*, the Annual Report from the Army Professional Campaign, and the *2013 Chief of Staff of the Army Leader Development Task Force Final Report*.

The *2013 Chief of Staff of the Army Leader Development Task Force Final Report* (2013) is a study that General Odierno requested to “conduct a comprehensive appraisal of officer leader development” and “determine the major leader attributes and leader development experiences that enabled the superb combat performance of the Army.”⁶⁹ The study uses a survey format from which to assess the Army’s leader development program, and was only provided to Army Officers. Among other things, the survey assisted with identifying the most significant attributes that contribute to effective leadership. According to the report, the most important attribute for an effective leader as indicated in the report is trustworthiness.⁷⁰ This fact provides a degree of credibility to this study, but also provides stimulus to learn more about what exactly is meant by trustworthiness, as the term trustworthiness is not defined in the survey report. The quantitative data and findings in the survey can be compared to the LRM for the purpose

⁶⁹ Center for the Army Profession and Ethics (CAPE), *2013 Chief of Staff of the Army Leader Development Task Force Final Report* (Washington, DC: Department of the Army, 2013), 1.

⁷⁰ *Ibid.*, 127.

of identifying gaps. If the Army uses the survey information to successful leader attributes, and those attributes are not accounted for on the LRM, this may represent a gap in the leadership model.

The Center for the Army Profession and Ethics, *Annual Survey of the Army Profession (CASAP FY15)* is the most current survey data available for this study that covers the Army Profession. In addition to providing details about the status of the Army Profession, the report concludes that “they [survey respondents] perceive a need for the Army Profession to strengthen trust, both externally and internally.”⁷¹ The April 2nd, 2012, Annual Report from the Army Professional Campaign provides a historical context to the impetus for the focus on the Army Profession. The historical background takes the reader to a time in Army history just after the Vietnam War, where internal and external trust were at an all-time low, providing emphasis to the necessity for leaders to nurture and reinforce trust in Army organizations. This thorough report is well researched, as indicated by the reported methodology of the campaign, and concludes with many recommendations for doctrine and training, including updates to the LRM that were subsequently incorporated in ADRP 6-22. The recommendations include an entire section dedicated to building and sustaining trust relationships. Among the trust recommendations were senior Army leader strategic communication programs, trust development in doctrine, and making trust a topic for all unit professional development programs.

⁷¹ Martin P. Brockerhoff, Francis C. Licameli, and Patrick A. Toffler, *Annual Survey of the Army Profession (CASAP FY15)* (Fort Leavenworth, KS: Combined Arms Center, 2015), 11.

Military Review

Davis and Peterson (2012) provide background for the development of ADRP 1. The foundational concept that Davis and Peterson emphasize in their article is trust, which is the underpinning for military expertise, honorable service, *esprit de corps*, and effective stewardship. Their article titled “America’s Army–Our Profession” discusses the development of the Army Profession as a topic for future doctrine. The article references the 2011 Army Professional Campaign, establishing that research is driving the new direction. In the process, the authors identify the necessity of maintaining trust between the Army and the American people, and they help focus the scope of the Army Profession by stating that “trust with the American people is earned and maintained when the Army Profession consistently demonstrates military expertise, honorable service, *esprit de corps*, and effective stewardship.”⁷²

Doty and Finlason (2015) reinforce the emphasis on trust, and make the case that the word trust must be used in context. Several examples are provided where soldiers indicate that they trust their leaders with competence, but are not concerned about trusting their leader’s character. The authors recommend that training and education focus on self-awareness, critical thinking, and judgment (or reasoning), so that an appropriate determination of trustworthiness can be made by soldiers about their leaders. Their article questions the understanding of trust in the military context, and separates trust into two categories for clarification: competency-trust and character-trust. The authors address the idea that competency-trust has a much higher value in the Army than

⁷² Gordon B. Davis and Jeffrey D. Peterson, “America’s Army-Our Profession,” *Military Review* 93, no. 1 (2013): 47.

character-trust; as long as the leader is competent, the character does not matter. The authors emphasize that character-trust should be included when soldiers think about trust in their leaders. The article also identifies that self-trust is an issue in the Army. They address group-think, peer pressure, and social desirability as combining to keep individuals from trusting themselves to make appropriate decisions. Ultimately, Doty and Finlason argue that the Army needs thoughtful and reasoned trust in lieu of blind trust. Trust based on sound judgment and reason helps soldiers not only better determine the trustworthiness of their leaders, but improves their self-trust, resulting in better decision making.

Caslen and Finney (2011) wrote an article in a special edition of *Military Review* that focused on the Army Profession. While the majority of the trust discussion in the article relates to the public trust, and the leader as a “strategic corporal,” one particular topic pertains to the ethos of trust. While discussing the Army Values, the authors suggest that candor should be considered as a new Army Value, and they derive that assessment from the US Army Profession of Arms Campaign 2011 Interim Report. “At the unit level, survey data confirms the importance of candor in terms of its contribution to a unit/organization climate of trust.”⁷³ This article plays an important role in the exploration of the civil-military trust relationship, and specifically contributes to the understanding of the culture of trust in the Army.

⁷³ Robert L. Caslen and Nathan K. Finney, “The Army Ethic, Public Trust, and the Profession of Arms,” *Military Review* (2011): 14, accessed September 20, 2015, <http://search.proquest.com.lumen.cgsccarl.com/docview/900673581?accountid=28992>.

Contributions to the Trust Body of Knowledge

Fairholm (1994) provides an early and in depth analysis of trust in organizations, and the role of leadership in organizational trust. He notes that there is very little research literature about intimate relationship trust. “We know even less about the intricacies of development and maintenance of a trust culture. It is encouraging, however, to note that more people are beginning to recognize the need to understand trust as an element of culture.”⁷⁴ His book provides a wealth of research literature and data for use in this study. He delivers a detailed and informative list and explanation of seven elements of a trust relationship, as well as eight critical factors in the trust relationship.⁷⁵ This book is useful in understanding the trust building qualities of several attributes and competencies from the LRM.

Covey (2006) argues that “leadership is getting results in a way that inspires trust.”⁷⁶ For Covey, trust is the key difference between being a manager, and a leader. Trust is also, as indicated in the title of his book, the one thing that changes everything. His book legitimizes trust with personal experience, and provides an effective argument for appreciating trust as the key to success in organizations. He demonstrates the benefits of mastering trust, and the detriment of underestimating trust. *The Speed of Trust* can be

⁷⁴ Gilbert W. Fairholm, *Leadership and the Culture of Trust* (Westport, CT: Praeger, 1994), 105.

⁷⁵ Fairholm, *Leadership and the Culture of Trust*, 106; 126. The seven elements of a trust relationship are acceptance, assumptions, authentic caring, ethics, leadership, individual character, predictability. The eight critical factors in the trust relationship are integrity, patience, altruism, vulnerability, action, friendship, personal competence, and judgment.

⁷⁶ Covey, *The Speed of Trust*, 298.

considered a euphemism for the speed of organizational success when trust is achieved. The fact that the book consolidates four cores of credibility and thirteen behaviors of trust provides a means to compare LRM attributes and competencies, as well as triangulate case study data.⁷⁷

Kouzes and Posner (2011) provide a modern and essential analysis of organizational leader trust and credibility based on research that began in the early 1980s. The significance of the work the authors provide rests in the worldwide scope of their research, and the timeframe over which the research was conducted. Credibility is “what people demand of their leaders as a prerequisite to willingly contributing their hearts and minds to a common cause, and [credibility is] about the actions leaders must take in order to intensify their constituents’ commitment.”⁷⁸ The book provides a substantial contribution to the consolidation of trust attributes and competencies of organizational leaders. The authors’ in depth evaluation and description of characteristics of admired leaders provides ample information for the qualitative research in this study.

Covey and Link (2012) provide a current national bestseller on trust, where they further develop the *Speed of Trust* into *Smart Trust: The Defining Skill that Transforms Managers into Leaders*. In their book, they contrast the decline of trust with the benefits of trust, demonstrate how many get trust wrong, and then they illustrate how to get trust

⁷⁷ Ibid., 43; 127. The four cores of credibility are integrity, intent, capabilities, and results. The thirteen behaviors of trust are talk straight, demonstrate respect, create transparency, right wrongs, show loyalty, deliver results, get better, confront reality, clarify expectations, practice accountability, listen first, keep commitments, and extend trust.

⁷⁸ James M. Kouzes and Barry Z. Posner, *Credibility: How Leaders Gain and Lose it, Why People Demand It* (San Francisco, CA: Jossey-Bass, 2011), xi.

right. The smart trust that they tout is divided into five separate actions they have found to be common among high-trust individuals, teams, and organizations from all over the world.⁷⁹ Perhaps the most revealing is the first action, referred to as “the foundational paradigm,” which is further divided into three beliefs: a belief in being worthy of trust, a belief that most people can be trusted, and a belief that extending trust is a better way to lead.⁸⁰ Essentially, these three beliefs address the decision to improve individual trustworthiness, the pursuit of increased personal trust propensity, and the decision to extend trust as a deliberate leadership action respectively. What might be considered the most important take away from their work is the idea of moments of trust. “Almost daily, most of us have what we could call ‘moments of trust,’ single instances in which our behavior enables us to build, extend, or restore trust or to diminish it. How we respond in those key moments, large or small, often has a disproportionate impact, sometimes beyond our wildest imagination.”⁸¹

Leadership and Trust

Transformational Leadership

The concept of transformational leadership was presented in 1978 by James MacGregor Burns in his book *Leadership*, where he introduced transforming leadership

⁷⁹ Stephen M. R. Covey and Greg Link, *Smart Trust: The Defining Skill that Transforms Managers into Leaders* (New York: Free Press, 2012), 83. The five actions of smart trust include: choose to believe in trust, start with self, declare your intent and assume positive intent in others, do what you say you’re going to do, and lead out in extending trust to others.

⁸⁰ *Ibid.*, 90-98.

⁸¹ *Ibid.*, 139.

as a process in which “leaders and followers raise one another to higher levels of motivation and morality.”⁸² For Burns, transforming leadership is contrasted and mutually exclusive with transactional leadership.⁸³ Bernard M. Bass (1985) furthered Burns’s leadership work in his book *Leadership and Performance Beyond Expectation*. For Bass, “transformational and transactional leadership are distinct but not mutually exclusive processes. Transformational leadership increases follower motivation and performance more than transactional leadership, but effective leaders use a combination of both leadership types.”⁸⁴ Bass and Riggio (2006) describe transformational leadership as a rising to the next level of leadership, relative to transactional leadership. They suggest that transformational leadership involves “inspiring followers to commit to a shared vision and goals for an organization or unit, challenging them to be innovative problem solvers, and developing followers’ leadership capacity via coaching, mentoring, and provision of both challenge and support.”⁸⁵ More recently, transformational leadership is defined by Hawkins (2014) as “the process of collectively engaging the commitment and participation of all major stakeholder groups to radical change in the context of shared endeavor, values and vision.”⁸⁶ The foundational components of

⁸² James MacGregor Burns, *Leadership* (New York: Harper and Row, 1978), 20.

⁸³ Bernard M. Bass and Ronald E. Riggio, *Transformational Leadership*, 2nd ed. (Mahwah, NJ: Lawrence Erlbaum Associates, 2006), 3.

⁸⁴ G. Yukl, *Leadership in Organizations* (Upper Saddle River, NJ: Prentice-Hall, 2006), 262.

⁸⁵ Bass and Riggio, *Transformational Leadership*, 4.

⁸⁶ Peter Hawkins, *Leadership Team Coaching: Developing Collective Transformational Leadership*, 2nd ed. (London, GBR: Kogan Page, 2014), 13, accessed March 13, 2016, ProQuest ebrary.

transformational leadership are idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration.⁸⁷

Some researchers portray trust in transformational leadership as a byproduct rather than a necessary component. Bass and Riggio (2006) suggest that “transformational leaders gain follower trust by maintaining their integrity and dedication, by being fair in their treatment of followers, and by demonstrating their faith in followers by empowering them.”⁸⁸ Other authors convey a more prominent role for trust. Bennis and Nanus (1985) found that the ability of the leader to build trust has a direct relationship to the follower’s commitment to the leader’s vision.⁸⁹ Podsakoff et al. (1990) report that a follower’s organizational citizenship behaviors are only indirectly affected by transformational leadership, as the affect is mediated by the follower’s degree of trust in the leader. Still others like Jung and Avolio (2000) insist that high levels of trust “among followers is what enables a transformational leader and his or her followers to persist in their efforts to overcome significant obstacles.”⁹⁰ The literature suggests that trust is a key component of transformational leadership, particularly with respect to organizational success.

⁸⁷ Bass and Riggio, *Transformational Leadership*, 6-7.

⁸⁸ *Ibid.*, 43.

⁸⁹ Yukl, *Leadership*, 2006, 268.

⁹⁰ Dong I. Jung and Bruce J. Avolio. “Opening the Black Box: An Experimental Investigation of the Mediating Effects of Trust and Value Congruence on Transformational and Transactional Leadership,” *Journal of Organizational Behavior* 21 (2000): 951.

Servant-Leadership

The term servant-leadership was coined by Robert K. Greenleaf in his 1970 essay titled “The Servant as Leader.”⁹¹ Greenleaf describes the servant-leader as “servant first . . . becoming a servant-leader begins with the natural feeling that one wants to serve . . . then conscious choice brings one to aspire to lead.”⁹² Servant-leadership, therefore, is an amalgamation of service and leadership, where service is not only first and foremost, but foundational; a service driven approach that has been characterized as a love of service. According to Zohar (2002), “the servant-leader serves from a base of love . . . not from some gooey sentimental love of all humanity and wish to do good works, but out of a deep, abiding passion for and commitment to service.”⁹³ By merging this level of commitment to service with the responsibility to lead, the servant-leader’s approach to leadership is less authoritative, and more cooperative; a different dynamic in the leader-follower construct.

According to an excerpt from Greenleaf’s original essay, followers “will freely respond only to individuals who are chosen as leaders because they are proven and trusted as servants.”⁹⁴ In this way, the follower’s response is not coerced, but freely

⁹¹ Larry C. Spears and Michele Lawrence, *Focus on Leadership: Servant-Leadership for the Twenty-First Century* (New York: J. Wiley and Sons, 2002), 18.

⁹² Robert K. Greenleaf, “Essentials of Servant-Leadership,” in *Focus on Leadership: Servant-Leadership for the Twenty-First Century*, ed. Larry C. Spears and Michele Lawrence (New York: J. Wiley and Sons, 2002), 23.

⁹³ Danah Zohar, “Servant-Leadership and Rewiring the Corporate Brain,” in *Focus on Leadership: Servant-Leadership for the Twenty-First Century*, ed. Larry C. Spears and Michele Lawrence (New York: J. Wiley and Sons, 2002), 120.

⁹⁴ Greenleaf, “Essentials of Servant-Leadership,” 21.

chosen, and a creative climate exists.⁹⁵ DePree (2002) furthers the role of trust by suggesting that servant-leaders understand the fiduciary nature of leadership, and seek to build trust, understanding that “trust is clearly the basis for covenantal relationships, which are far more productive than contractual ones.”⁹⁶ Again, by leveraging trust, the follower response is more a willingness, and less an obligation.

“Because the terrain that the leader and followers traverse is usually fraught with obstacles and resistance, the servant-leader must be willing to lead in the face of danger and adversity. Shared trials and tribulations nurture the bonds of trust between the leader and the followers, and this is critically important, given the risks to personal safety that are often involved in trying to achieve the goals they are moving toward.”⁹⁷ For servant-leadership, the literature suggests that trust is intrinsically intertwined in the framework.

Leader-Member Exchange Theory

Leader-member exchange (LMX) theory originated from vertical dyad linkage theory where subordinates were classified as either in-group or out-group based on their relationship with their leader.⁹⁸ These hierarchical relationships, according to Crouch and

⁹⁵ Ibid.

⁹⁶ Max Depree, “Servant-Leadership: Three Things Necessary,” in *Focus on Leadership: Servant-Leadership for the Twenty-First Century*, ed. Larry C. Spears and Michele Lawrence (New York: J. Wiley and Sons, 2002), 92.

⁹⁷ Lea E. Williams, “Fannie Lou Hamer, Servant of the People,” in *Focus on Leadership: Servant-Leadership for the Twenty-First Century*, ed. Larry C. Spears and Michele Lawrence (New York: J. Wiley and Sons, 2002), 67.

⁹⁸ Holly H. Brower, F. David Schoorman, and Hwee Hoon Tan, “A Model of Relational Leadership: The Integration of Trust and Leader-Member Exchange,” *Leadership Quarterly* 11, no. 2 (2000): 229.

Yetton (1988), are varied in terms of trustworthiness, which they identify as resulting in openness and support.⁹⁹ The in-group relationship is the relationship that is ascribed trust in vertical dyad linkage.¹⁰⁰

As LMX evolved, a new focus shifted to high and low LMX relationships, with trust being a key component.¹⁰¹ According to Yukl (2006), leader-member exchange theory “describes how a leader develops an exchange relationship over time with each subordinate as the two parties influence each other and negotiate the subordinate’s role in the organization.”¹⁰² Graen and Uhl-Bien (1995) established that LMX theory, as a subset of social exchange theory, is theory founded in the idea that “the quality of a relationship is based on the trust between two individuals, and each relationship is unique.”¹⁰³ As such, instead of an in-group and an out-group, there are levels of relationships in organizations. Yukl (2010) and Northouse (2004) established that “LMX theory is a three-stage process between leaders and followers, which will be developed during the timeframe within interactions, starting from an alien level towards acquaintance and finally to a partnership level.”¹⁰⁴ According to the research of Häkkinen (2012) “As trust in the organization was found to be one dimension of the followers’ trust

⁹⁹ Häkkinen, “Towards a Trust-Based Model,” 14.

¹⁰⁰ Brower et al., “A Model of Relational Leadership,” 229.

¹⁰¹ Ibid.

¹⁰² Yukl, *Leadership*, 2006, 117.

¹⁰³ Häkkinen, “Towards a Trust-Based Model,” 16.

¹⁰⁴ Ibid., 20.

in their leader, trust in leadership goes hand in hand with trust in the organization.”¹⁰⁵

Essentially, trust in LMX theory is foundational enough that Häkkinen (2012) worked to integrate LMX theory and trust theory into a single model. She concluded that the leader’s trustworthiness exemplified through “integrity, competence, and benevolent behavior,” resulted in more trust in the organization.¹⁰⁶

Conclusion

The body of knowledge in the literature review is adequate and necessary for the research in this study, but does not sufficiently answer the research questions. Further research, therefore, is necessary in order to answer the questions adequately. The review of literature does, however, establish several noteworthy themes in trust theory and research. First, although many different definitions of trust have been provided over the years, two consistent terms emerge: vulnerability and expectations. The vulnerability of the trusting individual involves a degree of risk, based on the expectations of the trusted individual, specifically his or her behavior. Second, trust is a highly productive enterprise in organizations, and yet is an elusive construct. The opportunities and demand for trust research is likely to increase with time. Third, precedence has been set in trust research that includes evaluating the characteristics of the leader for their ability to build trust, but trust research has been disproportionately balanced, leaning towards quantitative studies over the years. Recent years have shown a rise in qualitative studies, but rarely is the case study method used to focus in on the leader. Finally, the trustworthiness of an individual,

¹⁰⁵ Ibid.

¹⁰⁶ Ibid., 96.

according to the Army definition of trust, consists of character, ability, strength, and truth. The characteristics that have been most often described and used in the literature are character, competence, benevolence, and integrity of the leader. In simplest terms, trustworthiness boils down to characteristics of the leader that are consistent with character (truth, benevolence, and integrity) or competence (ability and strength). These factors either provide impetus to move forward with the study, or contribute to the conduct thereof. The findings of the literature review support the selection of the case study method to attempt to answer the research questions.

CHAPTER 3

RESEARCH METHODOLOGY

Introduction

This study is explanatory in type and qualitative in approach. The study has an exploratory component as well, but ultimately seeks to explain how Army leadership can reinforce an ethos of trust. The case study method is used in an attempt to understand the relationship between ethos of trust and the leader attributes and competencies from the LRM. The cases examine the interaction between:

1. The leader and the followers (internal),
2. The leader's influence outside the organization (external), and
3. The outcomes of the leader's influence.

The primary research question is: "How well does the existing Army Leadership Requirements Model reinforce an ethos of trust?" The secondary research questions are:

1. What is the definition of ethos of trust within the Army profession?
2. Which attributes and competencies build trust?
3. How do leader attributes and competencies reinforce an ethos of trust?

The research design is organized in three phases. The outcome of Phase I is the definition for "ethos of trust." The completion of Phase II produces the initial TBM. The TBM is derived from the LRM and emerges as a result of an information synthesis and comparative process; an abbreviation of the process used to develop the LRM as depicted in figure 4. Phase III is the case analysis. Army doctrine, scholarly writings, existing leadership theory, books, and existing survey data are used to define ethos of trust and derive an initial TBM from the LRM. Interview documents, historical biographical

documents, and autobiographical documents are used to provide source information for the cases. An overview of the research design is provided in figure 3. The figure flows from left to right, top to bottom, and is organized by phase.

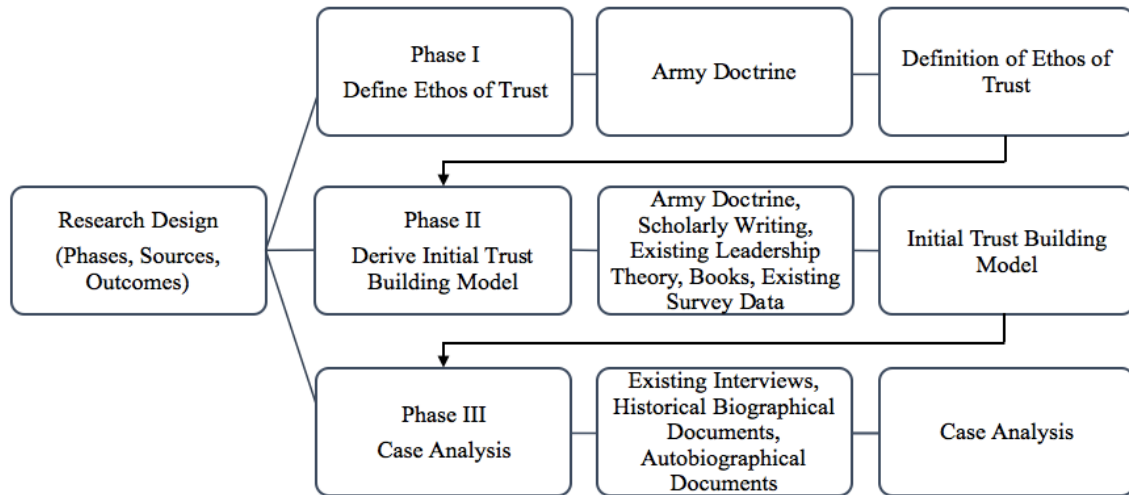


Figure 3. Research Design

Source: Created by author.

Research Design

Phase I of the research design requires an understanding of the current state of Army doctrine with respect to the topics of trust, the Army profession, and the LRM. The focus on trust provides an understanding of the current role of trust according to Army doctrine, and how the Army addresses trust in organizations. Army doctrine that discusses the Army profession assists with an understanding of the relationship between trust and the Army Ethic, and provides details about how trust protects the status of the

Army as a profession. This phase informs the researcher and assists with explanations of the relationship between leadership, trust, and the status of the Army as a profession, which furthermore provides a foundation for analysis of the trust qualities of the attributes and competencies in the LRM. Phase I ends with a focus on the LRM, and a preliminary understanding of the relationship between trust and the LRM's attributes and competencies. This focus allows the opportunity to conceptualize how leadership attributes and competencies do or do not build trust. The outcome provides a definition for ethos of trust. The information collected for this phase is essential in order to gain knowledge about all of the following four elements: Army profession, Army leadership, the LRM, and the role of trust in the Army. The information that is best suited for Phase I provides relationship details between any of the four elements. The definition of ethos of trust is derived from Army doctrine, and is a combination of direct quotes and paraphrasing.

Phase II in the research design involves an examination of existing literature and survey data addressing the current state of literature relevant to trust in organizations and leadership theories that require trust as a critical component. The initial TBM is derived from an assessment of whether or not the existing LRM attributes and competencies build trust in organizations. The emergent TBM serves as an initial model that can be refined at the completion of the case study. This initial assessment uses an abbreviated version of the steps involved in the development of the LRM as depicted in figure 4, including identification of literature, data mining, review of leadership theories, identifying types of leader relationships, and review of Army leadership doctrine.

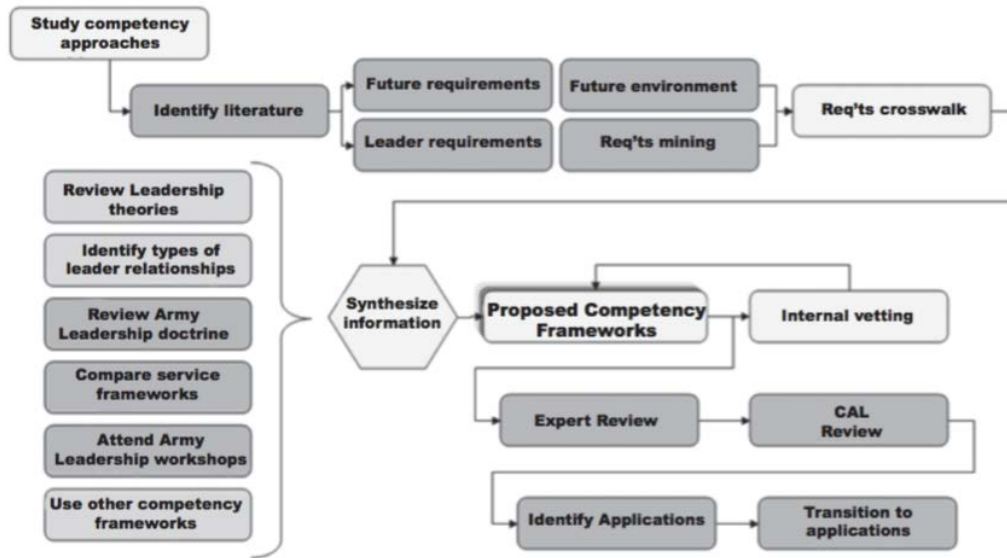


Figure 4. LRM Development Process

Source: Tom Guthrie, “Center for Army Leadership’s Response to ‘Empirically Based Leadership’,” *Military Review* 93, no. 1 (January-February 2013): 69.

This information is synthesized into a proposed model that categorizes attributes and competencies according to their trust building nature. Additionally, assessing the role of trust in transformational leadership theory, servant leadership theory, and leader-member exchange theory provides a well-rounded, modern look at the relationship of organizational trust and leadership to develop recommendations resulting from chapter 4. This phase reviews Army doctrine, but includes existing survey data and associated reports, with specific attention paid to the LRM. The evaluation of the surveys and reports provides insights into whether or not the current LRM aligns with prevailing opinions in the Army, and provides the researcher the opportunity to locate possible gaps between the perspective of the force and the current doctrine. Particular focus must be placed on identifying and consolidating organizational leadership trust attributes and

competencies for use in the development of a TBM. The outcome at the conclusion of Phase II is the initial TBM. Figure 5 is a blank Trust Building Model shell.

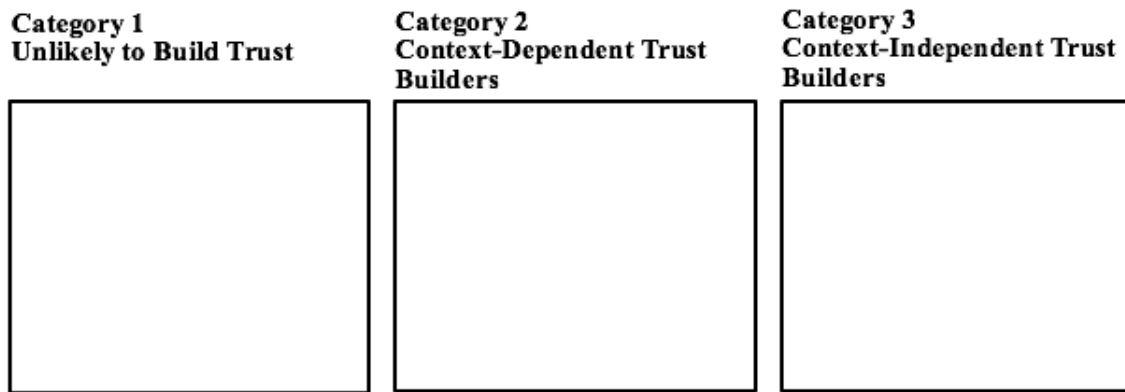


Figure 5. Blank Trust Building Model

Source: Created by author.

Phase III is the process of analyzing the cases. There are three types of literature employed in the cases. The first is the historical biographical documents that provide biographical data about the leader in context. The second consists of the autobiographical data that reinforces or refutes depictions of the events in the historical accounts. The third is existing interviews that confirm or deny the events in the historical accounts. These three types of documents together provide a rich history, with personal accounts from the leader and about the leader. Collection starts with criteria for case study leader selection, followed by a general search for non-fiction accounts that include the prospective leader. The non-fiction historical documents provide a wealth of resources for follow-on searches for interviews, reports, memoirs, and autobiographies.

Preparation for the case study includes the development of case study protocol, including case study questions and tools of analysis. The analysis executes the protocol, fills out the tools, and attempts to answer the questions. The case study analysis involves the creation of a database and a triangulation process between the TBM, the case study documents, and findings from the body of knowledge addressing trust. The case study leaders are identified in an iterative process and the findings from each case has the potential to assist with the selection of the next individual case leader. Phase III ends when all three cases are complete. An overview of the case study research design is provided in figure 6. The figure flows from left to right, and top to bottom.

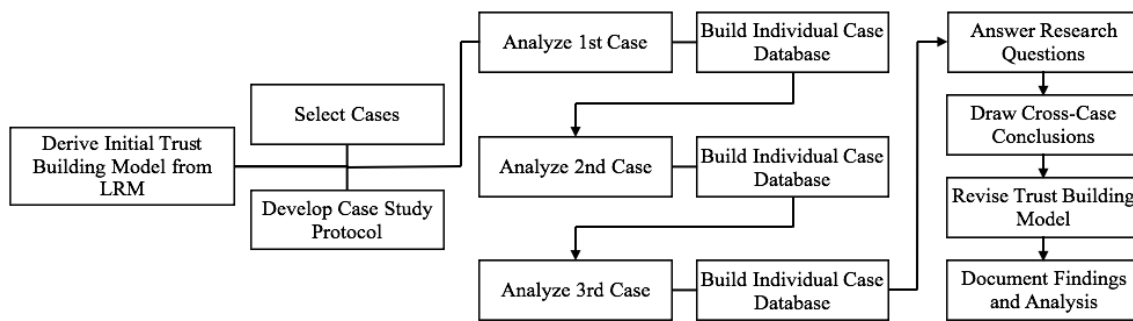


Figure 6. Case Study Research Design

Source: Robert K. Yin, *Case Study Research: Design and Methods*, 4th ed. (Thousand Oaks, CA: Sage Publications, 2009), 57. Adapted to fit the specific requirements of this research design.

Defining Ethos of Trust

The term “ethos of trust” does not exist in U.S. Army doctrine, yet is included in the ARCIC question at the center of this study, which is: How does the Army reinforce an ethos of trust? The fact that the term is missing from doctrine provides the impetus to

define the term. The result is to define the “ethos of trust” and incorporate this into the body of knowledge about trust in Army doctrine, specifically ADRP 6-22 and ADRP 1. Defining ethos of trust provides clarity for the emerging TBM and assists with the individual case analysis; specifically, the relationship of the ethos of trust to the Army leader’s exhibited attributes and competencies.

Trust Building Model

The TBM is derived from the LRM and is developed as a result of an information synthesis and comparative process in Phase II of the research design. The purpose of deriving the TBM is to facilitate the initial step of Phase III analysis, the case study, by providing a proposed model to evaluate throughout the individual cases. This process assists the understanding of the degree to which the current LRM addresses trust in the listed attributes and competencies. Any trust building attributes and competencies that are identified in the individual cases that are not already in the LRM emerge as gaps between the Army model and the trust model. Such gaps may be substantial enough to warrant the recommendations for amending the existing LRM.

Every attribute and competency in the leadership requirements model is evaluated to determine relevance to trust. Three categories are used to classify each attribute and competency. The first category is the attributes and competencies that are found to be unlikely to build trust, the second category identifies those attributes and competencies that have the potential to build trust but are dependent upon the context, and the third category is the attributes and competencies that appear to build trust independent of context. The findings emerging from Phase III analysis have the potential to confirm the original category assignment for the given attributes and competencies.

Case Study

The case study method provides the opportunity to apply findings from the analysis of the body of knowledge on trust to an environment that is applicable to the topic: U.S. Army organizations. This approach is deemed most appropriate because the body of knowledge is collected from available literature on the topic of trust in organizations, but is applied specifically to Army organizations. The nature and scope of trust in organizations lends itself to the case study method, in lieu of the survey method, for instance. The survey method would not capture the real-life context to understand trust in Army organizations required to answer the research questions. Additionally, the survey method is a quantitative measuring instrument, whereas this study is a qualitative endeavor. An ideal method of researching trust in Army organizations should include direct participant-observer data in the execution of the design. However, the researcher in this study, conducting the research in a time-constrained environment, is not in a position to conduct direct participant-observation in the U.S. Army. The flexibility of the case study method provides alternatives to direct observation, making the case study method best for this study. By incorporating historical analysis into the design, indirect observations can be made from primary and secondary resources.

Case Study Unit of Analysis

The unit of analysis for this case study is the individual leader (who). The case study is trust within Army organizations (what). The unit of analysis is identified in order to narrow the scope of the case study, and provide a definition of the “case.” As this study is a multiple-case design, each individual case is separated by context, but unified by the unit of analysis. The context that separates each individual case is the unit and

timeframe in which the selected leader served. Therefore, in keeping with the intent of the identification of the unit of analysis, the beginning and ending point for each individual case is defined as the involvement in the Army unit for which the individual leader is analyzed; the time that the individual entered the organization until the time that the individual departed. This timeframe provides for situations where the individual leader was assigned to multiple positions throughout a given tenure in the organization. The objective is for each case to individually contribute to a cross-case analysis, providing triangulation of data, and a deeper and more thorough understanding of trust and trust-building in Army organizations.

The primary research question asks specifically about the LRM, and how the LRM reinforces an ethos of trust, therefore, the research design requires that the attributes and competencies be evaluated in the Army leader, in the context of the Army organization, through the lens of trust. In this way, each of the leader's exhibited attributes and competencies can be identified, even in times that predate the LRM, to determine whether they did or did not build trust, and therefore contributed, or did not contribute, to reinforcing an ethos of trust. Figure 7 is provided to illustrate the multiple-case design used in this study. The design includes three individual cases in three separate contexts.

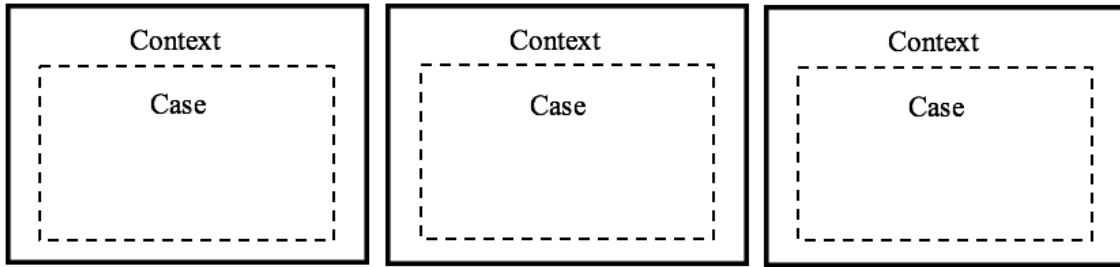


Figure 7. Multiple-Case Design

Source: Robert K. Yin, *Case Study Research: Design and Methods*, 4th ed. (Thousand Oaks, CA: Sage Publications, 2009), 46.

Case Study Protocol

Overview of the Case Study Project

The background for the selection of the case study method for this research evolved from the requirement for trust according to current Army doctrine. In an attempt to conceptualize trust in the Army, the assumption is that little can be gathered from a purely analytical approach into trust theory, and even less can be gained from more research into the benefits of trust, as Army leadership has already bought in to the benefits of trust. The question, then, is what research method provides the ideal process for operationalizing trust in Army organizations? The case study method provides a unique approach to trust, that begins to scratch the surface of trust in the natural state; a real-life perspective. The assumption is that only through this method can Army leaders begin to pinpoint the intricacies of trust, gain understanding, and assimilate strategies to best achieve a culture of trust.

Case Study Questions

The case study questions are listed in order of consideration per the research design. The (S) indicates a secondary question, and the (P) indicates the primary research question.

1. (S) Which attributes and competencies build trust?
2. (S) How do leader attributes and competencies reinforce an ethos of trust?
3. (P) How well does the existing Army Leadership Requirements Model reinforce an ethos of trust?

Individual Case Data Collection Instrument

An individual case data collection instrument is intended to provide a degree of objectivity to an otherwise subjective process, and to serve as a significant contribution to the case study database. The instrument is designed for use with each individual case, and facilitates the case study narrative, as well as cross-case analysis. Every attribute and competency from the LRM is included in the instrument. Each attribute and competency, indicated in the non-shaded cells in the left column, is assessed as being present or not present, and whether or not the attribute or competency builds trust in the given instance in the case. The Army Values attribute is expanded to include all seven values.

Table 1. Individual Case Data Collection Instrument

Individual Case Data Collection Instrument			
	Individual Case		
	Present Y/N	Builds Trust Y/N	Builds Trust How?
Attributes			
Character			
Army Values			
Loyalty			
Duty			
Respect			
Selfless Service			
Honor			
Integrity			
Personal Courage			
Empathy			
Warrior Ethos			
Discipline			
Presence			
Military Bearing			
Fitness			
Confidence			
Resilience			
Intellect			
Mental Agility			
Sound Judgment			
Innovation			
Interpersonal Tact			
Expertise			
Competencies			
Leads			
Leads Others			
Builds Trust			
Extends Influence			
Leads by Example			
Communicates			

Develops			
Creates <i>Esprit de Corps</i>			
Prepares Self			
Develops Others			
Stewards the Profession			
Achieves			
Gets Results			

Source: Created by author.

Criteria for Interpreting the Findings

There are theoretical implications in proposing that the leader is the key to organizational trust. An additional complement to the narrative is a criterion for interpreting the findings that tests and provides depth to the analysis. The criteria are in the form of rival explanations identified in chapter 2 that require the researcher to add specific justification to clarify the position of the researcher. Cross-examining the case study findings with rival theories is intended to provide a substitute for what would be considered statistically significant in a quantitative study.¹⁰⁷

Guide for the Case Study Report

The case study report is the foundational structure of this study, and is intended to provide a standardized format for the presentation of individual case results. Standardization narrows the focus of the findings and ensures relevance to the research questions. The case study report is composed using the linear-analytic structure, which encompasses the entirety of this study. The review of relevant literature and the methods

¹⁰⁷ Yin, *Case Study Research*, 34.

used are detailed in the literature review and the research methodology, chapters 2 and 3 respectively. The individual case reports present the data collected and analyzed in the analysis chapter (chapter 4). The individual case reports include the data gathered in the individual case data collection instrument, and a narrative introducing the leader to the reader and detailing the key aspects of the individual case. After the three cases are addressed in this manner, the results of the cross-case analysis concludes chapter 4. The conclusions and implications of the results are consolidated in the conclusions and recommendations chapter (chapter 5) of this study.

Case Study Leader Selection

The criteria for case study leader selection, is intended to provide clear and unbiased guidance for selectees. The first criterion is the wealth of information available to support the research. The information available must be sufficient and conducive to support a case study analysis. The fact that the cases in this research are not current ongoing events drives the necessity to substitute direct observation with primary and secondary sources, and specific interview questions with existing interview transcripts from first-hand accounts. Specifically, the design requires a combination of biographical documents, autobiographic documents, memoirs, reports, and existing interview documents. Using this criterion first is important as a method to reduce the potential for selecting a leader that facilitates a pre-identified attribute or competency. If no limitations are placed on the case study selectees, then ideal candidates can be selected to facilitate any number of arguments presumed by the researcher.

The next criterion is the requirement for the available information to provide details for the leader in the context of the organization. This criterion provides focus on

the available leaders, and serves to reduce the number of available selectees. The leader is not required to be a commander for the case study, but if the majority of information available is staff time, the information may not be sufficient enough to provide an ethos of trust assessment. The case study leaders are selected only from the U.S. Army, to ensure continuity between the problem statement, the research questions, and the case analysis. Finally, the case study information is required to fully capture both internal and external trust, and all four trust relationships identified in ADRP 1.¹⁰⁸ For the specific goal of addressing the trust aspects of the organization and the organizational leader, the information available is required to be conducive to determining the presence of an ethos of trust in the organization and identifying the attributes and competencies from the LRM.

The scope of each individual case is intended to be sufficient to answer all of the individual case questions in order to maximize the value of repetition, and facilitate cross-case analysis. The leader in each individual case is not required to display every attribute and competency in the data collection instrument; however, every attribute and competency should be addressed at least once throughout the three cases. The individual case leaders are primarily limited by the available information about them, a limitation which tends to restrict candidates to high-ranking officers.

¹⁰⁸ Department of the Army, ADRP 1, 1-4.

CHAPTER 4

PRESENTATION AND ANALYSIS

Introduction

This chapter is organized in the three phase construct identified in chapter 3. Phase I answers the first secondary research question: What is the definition of ethos of trust within the Army profession? Phase II derives the initial TBM, which serves as a tentative answer to the next secondary research question: Which attributes and competencies build trust? Phase III is the case analysis. Phase III continues the process of answering the secondary research question from Phase II, and pursues answering the final secondary research question: How do leader attributes and competencies reinforce an ethos of trust? Phase III presents the data from each individual case analysis in individual tables, as well as narrative form. The individual narratives serve to introduce the leader, provide contextual information, and most importantly, to assist with answering the final secondary research question. The cross-case analysis presents the collective data in a table, as well as narrative form, and addresses the individual categories of the initial TBM according to the original categorization. The attributes and competencies are presented in the narrative in the order that they appear in the model. The cross-case analysis does not address every attribute and competency. This chapter concludes with a summary of the presentation and analysis.

Phase I–Define Ethos of Trust

Ethos of Trust

This study defined ethos of trust in the Army as a “professional culture of trust, where trust is the common spirit, the foundation of the organization, and both the bond between all soldiers (internal) and between the Army and the American people (external).” The successful ethos of trust inherently builds the four trust relationships identified in ADRP 1. These are “trust between soldiers; trust between soldiers and leaders; trust among soldiers, their families, and the Army; and trust between the Army and the American people.”¹⁰⁹ By using this definition in combination with the leader’s observable attributes and competencies, a better understanding of the relationship between the attributes and competencies and the resulting organizational ethos of trust can be achieved.

Phase II–Derive Initial Trust Building Model

Initial Trust Building Model

The categorization of the attributes and competencies in figure 8 was derived by a three step process. The first step was the determination of the trust building ability of the attributes and competencies based on the two commonly established trust dynamics that combine to include character, competence, benevolence, and integrity.¹¹⁰ The second step

¹⁰⁹ Department of the Army, ADRP 1, 1-4.

¹¹⁰ Katarzyna Krot and Dagmara Lewicka. “The Importance of Trust in Manager-Employee Relationships,” *International Journal of Electronic Business Management* 10, no. 3 (2012): 224-233; Covey, *The Speed of Trust*, 30; Judith M. Whipple, Stanley E. Griffis, and Patricia J. Daugherty, “Conceptualizations of Trust: Can we Trust them?” *Journal of Business Logistics* 34, no. 2 (2013): 117-130.

was an assessment to determine the ability of the attributes and competencies to be exhibited by the leader, or perceived by the follower. Finally, an assessment was made as to whether or not the attributes and competencies appeared to be dependent on context. If an attribute or competency does not appear to build trust with respect to character, competence, benevolence, or integrity, or is difficult for the leader to exhibit or the follower to perceive, then that attribute or competency was placed in the first category of the initial TBM. Attributes and competencies that appear to build trust with respect to character, competence, benevolence, or integrity, are more readily exhibited and perceived, but appear to be dependent on context, were placed in category 2. Category 3 was reserved for those attributes and competencies that seem to build trust, are more readily exhibited and perceived, and appear to be independent of context. This suggests that the leader is not required to ensure that the exhibited attributes and competencies are tailored to the individual follower in order to build trust. Figure 8 depicts the initial TBM consisting of the three distinct categories: unlikely to build trust, context-dependent trust builders, and context-independent trust builders. The individual attributes and competencies used in the case study are underlined.

Category 1 Unlikely to Build Trust	Category 2 Context-Dependent Trust Builders	Category 3 Context-Independent Trust Builders
<ul style="list-style-type: none"> • Attributes • Intellect <ul style="list-style-type: none"> • <u>Mental Agility</u> • <u>Innovation</u> 	<ul style="list-style-type: none"> • Attributes • Character <ul style="list-style-type: none"> • <u>Loyalty</u> • <u>Duty</u> • <u>Honor</u> • <u>Integrity</u> • <u>Empathy</u> • <u>Warrior Ethos/Service Ethos</u> • <u>Discipline</u> • Presence <ul style="list-style-type: none"> • <u>Military and Professional Bearing</u> • <u>Fitness</u> • <u>Confidence</u> • Intellect <ul style="list-style-type: none"> • <u>Sound Judgment</u> • Competencies • Leads <ul style="list-style-type: none"> • <u>Leads Others</u> • <u>Builds Trust</u> • <u>Extends Influence Beyond the Chain of Command</u> • <u>Communicates</u> • Develops <ul style="list-style-type: none"> • <u>Prepares Self</u> • <u>Develops Others</u> • <u>Stewards the Profession</u> • Achieves <ul style="list-style-type: none"> • <u>Gets Results</u> 	<ul style="list-style-type: none"> • Attributes • Character <ul style="list-style-type: none"> • <u>Respect</u> • <u>Selfless Service</u> • <u>Personal Courage</u> • Presence <ul style="list-style-type: none"> • <u>Resilience</u> • Intellect <ul style="list-style-type: none"> • <u>Interpersonal Tact</u> • <u>Expertise</u> • Competencies • Leads <ul style="list-style-type: none"> • <u>Leads by Example</u> • Develops <ul style="list-style-type: none"> • <u>Creates a Positive Environment/Fosters Esprit de Corps</u>

Figure 8. Initial Trust Building Model

Source: Created by author. Derived from The U.S. Army Leadership Requirements Model. Department of the Army, Army Doctrine Reference Publication (ADRP) 6-22, *Army Leadership* (Washington, DC: Department of the Army, 2012), 1-4.

The literature review identified that trust theory is mostly composed of three distinctions: trustworthiness, trust propensity, and context. In this study, the word context is used to capture both the specific environment as well as the follower's propensity to trust. For attributes or competencies to be context-independent, they must appear to transcend the specific environment and the follower's propensity to trust, and always appear to contribute to building trust.

Phase III–Case Analysis

The data collection instruments in this chapter, starting with table 2, include three columns: a column with the attributes and competencies, a column for whether or not the attribute or competency was present, and a column for whether or not the attribute or competency appeared to contribute to building trust. If the attribute or competency was present, then a “Y” was placed in the appropriate cell; if not, an “N” was used. If the attribute or competency appeared to contribute to building trust, then a “Y” was placed in the “Builds Trust Y/N” column. If there were instances where the attribute or competency did not appear to contribute to building trust, then an “N” was placed in the column. Many attributes and competencies were identified to be present in multiple instances throughout the individual cases. “Y and N” was used for attributes and competencies that appeared to build trust on the one hand, but also appeared to be irrelevant to building trust on the other.

The leaders selected for this case study are Lieutenant General Matthew B. Ridgway, Second Lieutenant Richard D. Winters, and Lieutenant Colonel Harold G. Moore. They were selected in accordance with the case study leader selection criteria outlined in chapter 3. All three of the leaders in the case study are success stories; three

positive examples of “ethos of trust” organizations. As such, no negative behavior causing serious distrust was expected to be identified, and there were no such indications in the cases. Therefore, an “N” in the “Builds Trust Y/N” column does not indicate negative behavior resulting in distrust, but simply an instance of an attribute or competency that did not appear to contribute to building trust.

Matthew B. Ridgway

The attributes and competencies that were observed in the Ridgway research documents are included in table 2, which is a modified version of table 1, the Individual Case Data Collection Instrument. Table 2 only displays the attributes and competencies that were identified in the Ridgway documents. Of the twenty-nine attributes and competencies from table 1, twenty-three were identified in the Ridgway case. The six that were not identified in the research documents are all attributes: four from character, one from presence, and one from intellect. The fact that there were unidentified attributes does not indicate that Ridgway was necessarily lacking, but rather, that they were not apparent in the research documents. Of the twenty-three attributes and competencies identified in the case, eight were “Y,” thirteen were “Y and N,” and two were “N.”

Table 2. Matthew B. Ridgway Data Collection Instrument

	Present Y/N	Builds Trust Y/N
Attributes		
Character		
Army Values		
Loyalty	Y	Y and N
Duty	Y	Y and N
Respect	Y	Y
Selfless Service	Y	Y
Personal Courage	Y	Y and N
Empathy	Y	Y
Presence		
Fitness	Y	Y
Confidence	Y	Y and N
Resilience	Y	Y
Intellect		
Mental Agility	Y	N
Sound Judgment	Y	N
Interpersonal Tact	Y	Y
Expertise	Y	Y and N
Competencies		
Leads		
Leads Others	Y	Y and N
Builds Trust	Y	Y and N
Extends Influence Beyond the Chain of Command	Y	Y and N
Leads by Example	Y	Y
Communicates	Y	Y and N
Develops		
Creates a Positive Environment/Fosters <i>Esprit de Corps</i>	Y	Y
Prepares Self	Y	Y and N
Develops Others	Y	Y and N
Stewards the Profession	Y	Y and N
Achieves		
Gets Results	Y	Y and N

Source: Created by author.

In the Ridgway case, presence, the subcategory to the LRM attributes, is of particular note. Fitness, confidence, and resilience are all included in the list of presence attributes, and were not only consistent themes, but indicative of strong trust builders throughout. Another common trend in the Ridgway case was the inclination to build trust as a competency by his intentional approach to exhibiting attributes and competencies with his soldiers. His intentionality manifested itself in selfless service, personal courage, empathy, and resilience. His presence both inspired confidence and led him to endure hardships with his men, thereby sharing experiences and leading by example.

When Lieutenant General Matthew B. Ridgway arrived in Korea, he was already leveraging trust. His history with General Douglas MacArthur would serve him well from the very beginning of his command of the 8th Army in Korea, and his previous experience with subordinate officers in World War II would help him fill out his team.¹¹¹ The trusting relationships that he fostered in the past with MacArthur and the numerous officers that joined him in Korea to serve under him provided a continuity allowing for the continuous and efficient transition of the 8th Army to Ridgway.¹¹² This trust they enjoyed was a result of their prior shared experiences, giving all parties the opportunity to observe one another, particularly one another's character and competence. Ridgway had "an enviable reputation," most notably based on his competence.¹¹³ General Dwight D. Eisenhower once remarked about Ridgway in World War II, that he was "one of the

¹¹¹ Clay Blair, *The Forgotten War: America in Korea 1950-1953* (New York: Times Books, 1987), 563-565.

¹¹² *Ibid.*

¹¹³ *Ibid.*, 563.

finest soldiers this war has produced.”¹¹⁴ Eisenhower went on to say that Ridgway “has never undertaken a job that he has not performed in a soldierly and even brilliant way.”¹¹⁵ Indeed, Ridgway’s success in-and-of-itself was a trust builder, providing credibility as he transitioned to new jobs. His service leading up to his transition to command of the 8th Army had not only bolstered his reputation, but had significantly contributed to the ethos of trust in the Army with which he had influence.

Within weeks of taking command, Ridgway was visited by the Chief of Staff of the Army, General J. Lawton Collins, who later reported that:

Morale was improving rather than worsening. He sang Ridgway’s praises. Ridgway had taken over ‘with great confidence and energy’ and was ‘doing a magnificent job.’ Ridgway was ‘seen at the front by his men in difficult times,’ Collins went on, and this, too, had contributed to the improvement of morale. Indeed, there had been a ‘dramatic change’ in Eighth Army, and ‘Ridgway alone was responsible.’¹¹⁶

The improvement of morale witnessed by Collins was likely the result of Ridgway’s presence among his soldiers, and the attributes and competencies that his presence represented during those opportunities. As a Lieutenant General commanding at the 8th Army level, intentional presence was a necessity, as there were few opportunities to interact with frontline soldiers otherwise. Not only were personal courage, selfless service, resilience, and leading by example found to be strong trust builders in this case, but what compounded their trust building nature was Ridgway’s intentional approach at exhibiting his attributes and competencies, by his own admission. During his first major

¹¹⁴ Ibid.

¹¹⁵ Ibid.

¹¹⁶ Ibid., 647.

battlefield circulation, he purposefully rode in a convertible jeep without a top so that he could display himself as “sharing the same cold, miserable existence they had to endure.”¹¹⁷ He did so not to promote his own legacy, but instead, to inspire and encourage; arguably to reinforce an ethos of trust in the 8th Army. Furthermore, Collins’s quote contributes to the trust building potential of confidence, suggesting that at the right time and in correct proportion, confidence inspires trust in soldiers.

Fostering *esprit de corps* was something Ridgway made a top priority. On numerous occasions there is evidence of him talking about the spirit of the 8th Army and how he sought to improve *esprit de corps*. In a letter to Ham Haislip, the vice Chief of Staff to General Collins, January 11, 1951, Ridgway asserted that his “one over-riding problem, dominating all others, is to achieve a spiritual awakening of the latent capabilities of this command.”¹¹⁸ When he arrived in Korea, one of the first concerns that haunted him was the appearance of the soldiers of the 8th Army, and how the soldiers and leaders did not possess a fighting spirit.¹¹⁹ “Having lost their aggressiveness, their esprit, their eagerness to fight, they seemed to have forgotten, too, a great many of the basic, unchanging principles of war.”¹²⁰ Ridgway was able, even as early as his first battlefield circulation, to foster *esprit de corps* in his troops.¹²¹ Paul Smith, his guide throughout that tour, wrote that “the spirit generated during each of these meetings was

¹¹⁷ Ridgway, *Soldier*, 204.

¹¹⁸ Blair, *The Forgotten War*, 627.

¹¹⁹ Ridgway, *Soldier*, 205.

¹²⁰ *Ibid.*

¹²¹ Blair, *The Forgotten War*, 587.

so evident and so strong it was palpable.”¹²² This is representative of the relationship between *esprit de corps*, the ethos of trust, and the ability of Army units to maintain the will to win. Ridgway knew that he had to inspire and protect, above all, the fighting spirit of his unit.

One particular story of trust building as it relates to Ridgway and the 8th Army was his ability to “extend influence beyond the chain of command.” On his first meeting with President Syngman Rhee, Ridgway extended his hand and said “I’m glad to see you, Mr. President, glad to be here, and I mean to stay.”¹²³ Those words and the commitment they implied had a significant impact on Rhee. Ridgway had determined that he needed 30,000 men to assist with digging defensive positions.¹²⁴ His impact on Rhee resulted in 30,000 men being provided the very next morning to start the work that Ridgway had in mind, a tribute to the power of trust and the resulting unity of effort in multinational operations.¹²⁵

Richard D. Winters

The available information for Richard D. Winters is considerably less than Ridgway, nonetheless, ample historical accounts of his time with Easy Company allow for a majority of the attributes and competencies of the LRM to be identified. The Winters research documents accounted for twenty-four of the twenty-nine attributes and

¹²² Ibid.

¹²³ Ibid., 575.

¹²⁴ Ibid.

¹²⁵ Ibid.

competencies. There were three attributes and two competencies that were not apparent. Of the twenty-four attributes and competencies identified in the case, twelve were “Y,” eleven were “Y and N,” and one was “N.” Table 3 presents the data identified in the Winters research documents.

Table 3. Richard D. Winters Data Collection Instrument

	Present Y/N	Builds Trust Y/N
Attributes		
Character		
Army Values		
Loyalty	Y	Y
Duty	Y	Y and N
Respect	Y	Y
Selfless Service	Y	Y
Honor	Y	Y and N
Integrity	Y	Y and N
Personal Courage	Y	Y and N
Empathy	Y	Y
Discipline	Y	Y and N
Presence		
Fitness	Y	Y
Confidence	Y	Y and N
Resilience	Y	Y
Intellect		
Mental Agility	Y	N
Sound Judgment	Y	Y and N
Interpersonal Tact	Y	Y
Expertise	Y	Y
Competencies		
Leads		
Leads Others	Y	Y and N
Builds Trust	Y	Y
Leads by Example	Y	Y
Communicates	Y	Y and N

Develops		
Creates a Positive Environment/Fosters <i>Esprit de Corps</i>	Y	Y
Prepares Self	Y	Y and N
Develops Others	Y	Y
Achieves		
Gets Results	Y	Y and N

Source: Created by author.

In the Winters case, expertise, one of the attributes on the LRM, is of particular note. At the tactical level, expertise played a key role in trust building, particularly as a matter of competence. His expertise as a paratrooper and competence as a leader of paratroopers resonated with his men. Another common trend in the Winters case was his tendency to lead by example through leading from the front. “The Infantry School at Fort Benning, Georgia, has defined leadership in just two words via its motto: ‘Follow Me!’ Never ask your team to do something you wouldn’t do yourself.”¹²⁶ Winters lived by this motto, and it was a contributor to the ethos of trust.

By the time Second Lieutenant Richard D. Winters arrived at Camp Toccoa and was assigned to Easy Company, 2nd Battalion of the 506th Parachute Infantry Regiment, he had already developed a keen sense for Army leadership.¹²⁷ As a young Lieutenant and the newly assigned 2nd Platoon leader, his fitness and expertise were often exemplified during physical training and field training exercises, where the men in his

¹²⁶ Richard D. Winters, *Beyond Band of Brothers: The War Memoirs of Major Dick Winters* (New York: Berkley Publishing Group, 2006), 286.

¹²⁷ Larry Alexander, *Biggest Brother: The Life of Major Dick Winters, the Man Who Led the Band of Brothers* (New York: NAL Caliber, 2005), 37-38.

platoon took note.¹²⁸ “During nighttime problems, where some officers got lost, causing delays in time and unwelcomed extra marching by the weary men under them, Winters was blessed with a superb sense of direction, a point his soldiers appreciated.”¹²⁹ To further his reputation amongst his men, Winters had also competed in a Junior Officers’ Olympics organized by the Regimental Commander Colonel Robert F. Sink, where he won the right to be the first officer to jump on their first qualifying flight to become paratroopers.¹³⁰ Whereas all other officers eventually transferred out of Easy Company under the original Company Commander, Captain Herbert M. Sobel, Winters stuck with Easy.¹³¹ The fact that Winters stayed with the company provided a sense of loyalty, as well as a sense of shared experience, particularly due to the fact that Sobel was a harsh and often tyrannical leader.¹³²

Winters had the opportunity to reflect while staying with his adopted English family during Easy Company’s time in England.¹³³ “In later life, he felt living with the Barnes family was one of the luckiest breaks of his life, allowing him the needed time to mature as a man and build the strong sense of character that he would carry with him for the remainder of his life.”¹³⁴ In his memoirs Winters wrote:

¹²⁸ Ibid., 43.

¹²⁹ Ibid., 45.

¹³⁰ Ibid., 47.

¹³¹ Ibid.

¹³² Winters, *Beyond Band of Brothers*, 23.

¹³³ Alexander, *Biggest Brother*, 52.

¹³⁴ Ibid., 53.

By giving me time to reflect and to study my manuals for the nine months prior to the invasion, the Barneses helped me develop my own personality and hone my leadership skills. This formative period of my life was very important in continuing to build the fundamental characteristics my parents had initiated, and they helped shape my life. Today I realize what the Barnes family did was help me develop the most fundamental element in good leadership—lead by example, live by setting a good example.¹³⁵

Additionally, Winters was purposeful in his time spent with soldiers. He helped coach the 506th basketball team while they were in England preparing for combat, continuing to build morale, as his “philosophy of dealing with his men and keeping morale and fighting spirit was to move among them.”¹³⁶ Even as a leader at the tactical level, where interacting with a majority of his soldiers was an everyday event, he found ways to be present that fostered *esprit de corps*.

Early in the morning on June 12, 1942, Winters, now the acting Company Commander of Easy, was about to put the trust he had earned from his men to the test.¹³⁷ Easy Company was given the daunting task of leading an attack along a road into a town named Carentan that was a likely defended avenue of approach.¹³⁸ As soon as the attack was initiated, the soldiers of Easy Company took heavy fire from a German MG-42, and many of the Easy Company soldiers froze and took cover in the ditches along the road.¹³⁹ With his Battalion Commander behind him yelling, and part of his 1st Platoon isolated and unsupported at an intersection ahead, Winters jumped on the road, drew intense

¹³⁵ Winters, *Beyond Band of Brothers*, 53.

¹³⁶ Alexander, *Biggest Brother*, 54.

¹³⁷ *Ibid.*, 102.

¹³⁸ *Ibid.*, 69.

¹³⁹ *Ibid.*

enemy fire, and coaxed his men to continue the assault.¹⁴⁰ In a letter written to Winters in 1981, one of his soldiers, Staff Sergeant Talbert, said about the event, “I’ll never forget seeing you in the middle of that road. You were my total inspiration. All my boys felt the same way.”¹⁴¹ In the process of inspiring Talbert and his men, Winters was displaying duty, selfless service, personal courage, resilience, and leading by example. His actions were attributed to his dedication to accomplishing the mission, while simultaneously caring for his men. When his soldiers looked up at him from the protection of the ditches, they saw their leader exhibiting a combination of character and competence, sharing this common experience, exposing himself recklessly to enemy fire, and they were inspired into action. In an episode of both trustworthiness and a propensity to trust, as leader and follower met at the crossroads of character and competence, they were mutually inspired to share the most dangerous of experiences, and risk their lives for one another. This is indicative of the ethos of trust with which the U.S. Army aspires.

There is a reason Easy Company is referred to as a band of brothers, and much of their *esprit de corps* can be attributed to the trustworthiness of their leader. Perhaps Ronald Speirs, the longest running Commander of Easy Company, said it best, that the “infantry soldier is aware of the regiment, the division, and the democracy he belongs to, but his fighting spirit and good morale are caused and nurtured by his buddies, the guys in the foxholes alongside him.”¹⁴² Sometimes a strong ethos of trust is inevitable due to

¹⁴⁰ Steven E. Ambrose, *Band of Brothers: E Company, 506th Regiment, 101st Airborne From Normandy to Hitler’s Eagle’s Nest* (New York: Simon and Schuster, 1992), 95.

¹⁴¹ *Ibid.*, 96.

¹⁴² Winters, *Beyond Band of Brothers*, 252.

certain shared experiences and hardships, but for the leader to be included in that circle is not assured. Winters’ character and competence helped him earn trusted inclusion.

Harold G. Moore

The available information for Lieutenant Colonel Harold “Hal” G. Moore’s time as the Commander of 1st Battalion, 7th Cavalry, is mostly limited to the Battle of Ia Drang, providing the smallest collection of the three individual cases. Nonetheless, the information was sufficient to facilitate the individual case analysis. The Moore documents accounted for twenty-five of the twenty-nine attributes and competencies. There were two attributes and two competencies that were not apparent. Of the twenty-five attributes and competencies identified in the case, twelve were “Y,” eleven were “Y and N,” and two were “N.” Table 4 presents the data identified in the Moore research documents.

Table 4. Harold G. Moore Data Collection Instrument

	Present Y/N	Builds Trust Y/N
Attributes		
Character		
Army Values		
Loyalty	Y	Y
Duty	Y	Y and N
Respect	Y	Y
Selfless Service	Y	Y
Honor	Y	Y and N
Personal Courage	Y	Y
Empathy	Y	Y
Discipline	Y	Y and N

Presence		
Military and Professional Bearing	Y	Y
Fitness	Y	Y
Confidence	Y	Y and N
Resilience	Y	Y
Intellect		
Mental Agility	Y	N
Sound Judgment	Y	Y and N
Innovation	Y	N
Interpersonal Tact	Y	Y
Expertise	Y	Y
Competencies		
Leads		
Leads Others	Y	Y and N
Builds Trust	Y	Y and N
Leads by Example	Y	Y
Communicates	Y	Y and N
Develops		
Creates a Positive Environment/Fosters <i>Esprit de Corps</i>	Y	Y
Prepares Self	Y	Y and N
Develops Others	Y	Y and N
Achieves		
Gets Results	Y	Y and N

Source: Created by author.

In the Moore case, resilience and military and professional bearing, two of the attributes on the LRM, are of particular note. Moore not only wanted to be the first one on the battlefield in the 1/7, and the last one to leave, but he remained calm and resilient in the midst of the battle, even as they were in danger of being overrun. The combination of his presence, selfless service, and leading by example had a positive trust building effect in his unit.

Moore's experience as the Commander of the 1st Battalion of the 7th Cavalry Regiment, most notably during the Battle of Ia Drang, is an exemplary lesson in combat leadership.¹⁴³ His command was wrought with change from the beginning, as his unit was recently assigned to the 11th Air Assault Test, where he would train them in the new helicopter warfare.¹⁴⁴ During his change-of-command ceremony, he conveyed a similar message that Ridgway had done on taking command of the 8th Army. He simply stated "I will do my best, and I expect the same from you."¹⁴⁵ From the beginning, he told his organization that he was committed to holding up his end of the deal in the relationship as the leader, and pledged a commitment to excellence. In the same way, he began the process of informing his soldiers what would be expected of them. He placed high expectations on them from the beginning, but at least he was honest. Due to his candor, they knew up front what it would take to win his trust, and he had started the process of earning theirs. Hal Moore knew that,

With respect to trust, the person in authority at any level—the boss—does not automatically and immediately become a respected and trusted leader by the people under him. He undergoes an unofficial but important observation process in the first few days or weeks during which his subordinates judge him and decide whether or not he is worthy of their trust.¹⁴⁶

¹⁴³ Harold G. Moore and Joseph L. Galloway, *We Were Soldiers Once...and Young: Ia Drang: The Battle that Changed the War in Vietnam* (New York: Random House, 1992), 24-25.

¹⁴⁴ *Ibid.*, 17.

¹⁴⁵ Mike Guardia, *Hal Moore: A Soldier Once...and Always* (Havertown, PA: Casemate Publishing, 2013), 97.

¹⁴⁶ Harold G. Moore and Joseph Galloway, *We Are Soldiers Still: A Journey Back to the Battlefields of Vietnam* (New York: HarperCollins Publishers, 2008), 183.

Moore's unit spent a majority of training time in the field, honing their skills due to the new tactics they were learning and the pending deployment to Vietnam.¹⁴⁷ In the process, Moore was provided ample opportunity to exhibit his expertise as an infantry officer, and share hardship and experiences with the soldiers he led. He believed in training to flexibility and resilience, ensuring soldiers could handle increased responsibility under stress. "Total flexibility was the watchword in planning and attitude . . . we would declare a platoon leader dead and let his sergeant take over and carry out the mission."¹⁴⁸ While this may not be a unique training technique, the themes were consistent: personal courage, resilience, discipline, expertise, and leads by example. Moore's policy was to "push the power down."¹⁴⁹ He believed that philosophy helped his subordinate leaders feel more comfortable making decisions, while still understanding that they did so with his authority.¹⁵⁰ While elaborating on the topic, Moore stated "I am convinced that trust and loyalty downward results in better work habits and higher unit efficiency."¹⁵¹

Further evidence of his presence as a battalion commander was his philosophy on leadership going into the Battle of Ia Drang, as well as his actions. Moore firmly believed that the commander had to be on the ground so that he could see the battle unfold in front

¹⁴⁷ Moore and Galloway, *We Were Soldiers Once*, 23.

¹⁴⁸ *Ibid.*

¹⁴⁹ Moore and Galloway, *We Are Soldiers Still*, 182.

¹⁵⁰ *Ibid.*

¹⁵¹ *Ibid.*

of him and guide and direct the battle.¹⁵² As the battalion commander in a battalion level fight, he refused to be in a helicopter flying circles above the battle, or stuck in a headquarters, he wanted to be on the ground leading his soldiers and directing the fight; which is exactly what he did.¹⁵³ Moore was the first soldier off the helicopter when they assaulted into Landing Zone X-ray.¹⁵⁴ He and his fire team assaulted across the Landing Zone and had initially cleared their assigned area.¹⁵⁵ When Sergeant Major Basil L. Plumley overheard one of his sergeants exclaim that Moore and his fire team had cleared the area where they were headed, he reportedly grinned, for “He knew that the troops liked to see the Old Man out with them on the ground, sharing the risks.”¹⁵⁶ Moore’s combat leadership fostered *esprit de corps* through leadership by example, displaying personal courage, selfless service and resilience.

Moore, like Ridgway, had a good handle on the trust building potential of loyalty. Moore, in addressing loyalty, also included candor and alludes to culture where the subordinate officer plays a role in the accountability of the leader, being the “skunk.”¹⁵⁷

I have always been keenly interested in why leaders fail. I learned early in my career to have a trusted confidant with broad experience, sagacity, and wisdom close at hand. As I moved up I tried always to find such a person and put him directly under me as my operations officer, chief of staff, or special assistant. I wanted someone who was loyal enough to me and the unit to be the ‘skunk at the

¹⁵² Guardia, *Hal Moore*, 117.

¹⁵³ *Ibid.*

¹⁵⁴ *Ibid.*

¹⁵⁵ Moore and Galloway, *We Were Soldiers Once*, 61.

¹⁵⁶ *Ibid.*

¹⁵⁷ Moore and Galloway, *We Are Soldiers Still*, 171.

picnic’—to tell me candidly when he thought I was about to go off on a wrong tangent. Sometimes I agreed; sometimes not. But that was the essence of loyalty—to me, to the unit, and to the mission.¹⁵⁸

This loyalty involves candor and accountability. Moore indicated that he is not perfect, and needs an accountability partner that he can trust. This is the kind of loyalty that reinforces an ethos of trust.

Perhaps Moore’s greatest contribution to the ethos of trust was his refusal to leave a soldier behind. He promised that he would be the last soldier to leave the battlefield, and he was.¹⁵⁹ His promise likely filled his soldiers with a sense of confidence knowing that their commander would not leave them, no matter what happened. He then took his promise to the next level. Upon receipt of the message that he was ordered to report to Saigon the next morning to brief General William Westmoreland on the situation, he was perplexed.¹⁶⁰ Moore, in an episode displaying loyalty to his soldiers, selfless service, and personal (moral) courage, disobeyed the order.¹⁶¹ “I made it very clear that this battle was not over and that my place was with my men—that I was the first man of my battalion to set foot in this terrible killing ground and I damned well intended to be the last man to leave. That ended that. I heard no more on the matter.”¹⁶² This decision could have hurt his career, but he had accepted prudent risk, committed to his soldiers, and ultimately earned their enduring respect.

¹⁵⁸ Ibid.

¹⁵⁹ Guardia, *Hal Moore*, 140.

¹⁶⁰ Moore and Galloway, *We Were Soldiers Once*, 185.

¹⁶¹ Ibid.

¹⁶² Ibid.

Cross-Case Analysis

The combined data from the three individual cases are displayed in table 5. All of the attributes and competencies are indicated in the left column, similar to table 1. The presentation of the data in table 5 provides a means to compare the individual findings in order to more easily identify trends among the individual cases, as well as compare the combined data to the initial TBM. Above all, table 5 facilitates an understanding of the narrative that follows, organized by the TBM categories.

Table 5. Cross-Case Data Collection Instrument

	Ridgway		Winters		Moore	
	Present Y/N	Builds Trust Y/N	Present Y/N	Builds Trust Y/N	Present Y/N	Builds Trust Y/N
Attributes						
Character						
Army Values						
Loyalty	Y	Y and N	Y	Y	Y	Y
Duty	Y	Y and N	Y	Y and N	Y	Y and N
Respect	Y	Y	Y	Y	Y	Y
Selfless Service	Y	Y	Y	Y	Y	Y
Honor	N	N/A	Y	Y and N	Y	Y and N
Integrity	N	N/A	Y	Y and N	N	N/A
Personal Courage	Y	Y and N	Y	Y and N	Y	Y
Empathy	Y	Y	Y	Y	Y	Y
Warrior Ethos- Service Ethos	N	N/A	N	N/A	N	N/A
Discipline	N	N/A	Y	Y and N	Y	Y and N
Presence						
Military and Professional Bearing	N	N/A	N	N/A	Y	Y
Fitness	Y	Y	Y	Y	Y	Y
Confidence	Y	Y and N	Y	Y and N	Y	Y and N
Resilience	Y	Y	Y	Y	Y	Y

Intellect						
Mental Agility	Y	N	Y	N	Y	N
Sound Judgment	Y	N	Y	Y and N	Y	Y and N
Innovation	N	N/A	N	N/A	Y	N
Interpersonal Tact	Y	Y	Y	Y	Y	Y
Expertise	Y	Y and N	Y	Y	Y	Y
Competencies						
Leads						
Leads Others	Y	Y and N	Y	Y and N	Y	Y and N
Builds Trust	Y	Y and N	Y	Y	Y	Y and N
Extends Influence Beyond the Chain of Command	Y	Y and N	N	N/A	N	N/A
Leads by Example	Y	Y	Y	Y	Y	Y
Communicates	Y	Y and N	Y	Y and N	Y	Y and N
Develops						
Creates a Positive Environment/Fosters <i>Esprit de Corps</i>	Y	Y	Y	Y	Y	Y
Prepares Self	Y	Y and N	Y	Y and N	Y	Y and N
Develops Others	Y	Y and N	Y	Y	Y	Y and N
Stewards the Profession	Y	Y and N	N	N/A	N	N/A
Achieves						
Gets Results	Y	Y and N	Y	Y and N	Y	Y and N

Source: Created by author.

In table 5, if the data in the “Builds Trust Y/N” column indicates only “N” across the three individual cases, then the attribute or competency is probable to belong in the unlikely to build trust category. If the data in the “Builds Trust Y/N” column indicates any combination of “Y,” “Y and N,” or “N” across the three individual cases, then the attribute or competency is likely to belong in the context-dependent trust builders category. If the data in the “Builds Trust Y/N” column indicates “Y” across the three

individual cases, then the attribute or competency is likely to belong with the context-independent trust builders.

Five of the observations in the Ridgway research documents did not fit the original categorization of the initial TBM: personal courage, empathy, fitness, sound judgment, and expertise. Both empathy and fitness were originally placed in category 2, but in the Ridgway case they appeared to consistently build trust, indicating they may belong in category 3. Sound judgment, also an original category 2 attribute, did not appear to contribute to building trust. Finally, the category 3 attributes of personal courage and expertise appeared to build trust on the one hand, but also appeared to be irrelevant to building trust on the other, indicative of a category 2 attribute or competency.

Six of the observations in the Winters research documents did not fit the original categorization of the initial TBM: loyalty, personal courage, empathy, fitness, builds trust, and develops others. The category 1 attributes from the initial TBM were either not apparent (innovation) or did not appear to build trust (mental agility). Of the category 2 attributes and competencies, five occurred in ways that only appeared to contribute to building trust: loyalty, empathy, fitness, builds trust, and develops others. One of the category 3 attributes, personal courage, appeared to build trust on the one hand, but also appeared to be irrelevant to building trust on the other.

Four of the observations in the Moore research documents did not fit the original categorization of the initial TBM: loyalty, empathy, military and professional bearing, and fitness. The category 1 attributes from the initial TBM did not appear to contribute to building trust in any instance. Of the category 2 attributes and competencies, four

occurred in ways that only appeared to contribute to building trust: loyalty, empathy, military and professional bearing, and fitness. All of the category 3 attributes and competencies from the initial TBM appeared to contribute to building trust, consistent with their original categorization.

Overall, there are four attributes where the data does not fit the original categorization of the initial TBM. Personal courage and expertise were initially category 3 attributes, but the data suggests they belong in category 2. Empathy and fitness were initially category 2 attributes, but the data suggests they belong in category 3. Both attributes from category 1 were supported by the data.

Eight of the attributes and competencies were identified as trust building in all instances across all three individual cases: respect, selfless service, empathy, fitness, resilience, interpersonal tact, leads by example, and creates a positive environment—fosters *esprit de corps*. Of these eight attributes and competencies, six are attributes and two are competencies according to the LRM. The list represents a group of attributes and competencies that were consistent throughout the cases, and therefore appear to belong in category 3.

Category 1—Unlikely to Build Trust

The attributes in category 1 were either not evident to the researcher or did not appear to contribute to building trust or the ethos of trust in the individual cases. Both attributes, mental agility and innovation, fall under the sub-heading of intellect and may be difficult for the leader to exhibit or for the follower to identify. The attributes are also challenging to identify as being qualitatively distinct from confidence, sound judgment, or encompassed in the leads others competency. A common theme between the

descriptions of mental agility and innovation in ADRP 6-22 is adaptability, exemplified in Moore's case.¹⁶³ However, regardless of his mental agility and innovation, no apparent data suggests that they were either trust building or contributors to the ethos of trust at the time.

Category 2–Context-Dependent Trust Builders

Loyalty is an attribute of character that builds trust in Army organizations, but can be misplaced. When a leader is considered loyal to a follower, certainly trust ensues. But with respect to attributes and competencies that reinforce an ethos of trust, loyalty can be a detriment. While researching Ridgway, it was evident that General MacArthur struggled with loyalty in his execution of the Korean War.¹⁶⁴ Whereas Ridgway prepared and executed his duties generally in keeping with the intent of the President, General MacArthur did not.¹⁶⁵ This is problematic considering the subordinate role of Army leaders to specific U.S. civilian leaders, particularly the President. "Ridgway was in sympathy with MacArthur's views, but his duty—and oath of office—demanded that he carry out the wishes of his civilian authority."¹⁶⁶ A senior Army leader who is not loyal to the President may be viewed by soldiers as untrustworthy, regardless of the senior leader's perceived loyalty to those soldiers.

¹⁶³ Department of the Army, ADRP 6-22, 5-1.

¹⁶⁴ Blair, *The Forgotten War*, 568-569.

¹⁶⁵ *Ibid.*

¹⁶⁶ *Ibid.*, 568.

The described military and professional bearing and fitness of Ridgway would almost certainly be received as trust building in the context of Army culture, particularly in combat. Presence is a subtopic of attributes on the LRM, and military and professional bearing and fitness are both included under presence.¹⁶⁷ The presence of the commanding officer, both physically fit, and with a posture described as “ramrod straight,” likely inspired confidence, or at least contributed to Ridgway’s collective character and competence, as perceived by his soldiers.¹⁶⁸ As Walter F. Winton once remarked about Ridgway’s stature and aura, “it was a powerful presence.”¹⁶⁹ An argument could be made that military and professional bearing belong in category 3, as the attribute appeared to contribute to trust building when it was identified, but it was not readily apparent in two of the cases. However, the inability to triangulate the attribute means that there is not sufficient data to suggest that military and professional bearing belongs in category 3. Fitness, on the other hand, appeared to contribute to building trust consistently across all three categories, indicative of a category 3 attribute.

When Winters accepted the mission to attack a German Battery near Brécourt Manor shortly after their Normandy jump, he did so with resolute confidence.¹⁷⁰ His confidence, after all, was warranted; he was in a unit of elite paratroopers. However, although he was successful, the mission was essentially a squad taking on a battery.¹⁷¹

¹⁶⁷ Department of the Army, ADRP 6-22, 1-4.

¹⁶⁸ *Ibid.*, 559.

¹⁶⁹ Clay Blair interview with Walter F. Winton, November 6, 1982.

¹⁷⁰ Ambrose, *Band of Brothers*, 78.

¹⁷¹ *Ibid.*, 83.

Easy Company's achievement was valiant, but in a situation where his unit was outnumbered, his confidence could have resulted in disaster. That confidence could have contributed to concern among his men about the effect of his confidence on his judgment, serving as an impediment to trust.

Duty in-and-of-itself has the potential to inspire trust, but duty may not always be transmitted in a way that builds trust. In review of ADRP 6-22, however, one attribute is both considered as a significant aspect of duty and also was evident in all of the cases: conscientiousness. "Conscientiousness guides leaders to do what is right."¹⁷² Again, the determination of what is right is circumstantial and perspective dependent, nonetheless, duty and the subordinate role of conscientiousness are strong, yet dependent trust builders.

Honor is at the core of the U.S. Army experience. ADRP 6-22 describes honor as living up to the Army Values.¹⁷³ As not all of the Army Values can be considered context-independent trust builders, honor is not considered a context-independent trust builder. All cases provided ample honorable acts, but consistency with Army Values is problematic, as discussed with loyalty. The Army Values that fall in category 2 require a deeper understanding of either how they are exhibited, perceived, or simply understood by the leader and the follower. Trust has a component of expectation that can be convoluted by the misunderstanding of the appropriate application of loyalty, and the underappreciation or poor reception of duty, honor, and even integrity.

¹⁷² Department of the Army, ADRP 6-22, 3-2.

¹⁷³ Ibid.

When Winters was given a document from his commanding officer indicating that he could either accept punishment or trial by courts martial for failure to inspect a latrine at a given time, he refused to accept the punishment.¹⁷⁴ He knew that he had not been in the wrong, and to accept punishment would be to accept guilt, an assault on his integrity. As a man of integrity, he requested a trial by courts martial to prove his innocence. He knew that he was living in accordance with what the Army wanted from leaders, “high moral standards . . . honest in word and deed.”¹⁷⁵ The aftermath of this event, while not directly Winters’ fault, resulted in what appeared to be a decline in the ethos of trust. Integrity, while not specifically problematic in the individual cases in this case study, can build trust as well as cause distrust, and appeared to be dependent on context.

One of the descriptions of empathy in ADRP 6-22 says that “During operations, empathetic Army leaders share hardships to gauge if their plans and decisions are realistic.”¹⁷⁶ As expected, the role of Winters as a platoon leader and company commander put him in an excellent position to do this, and he did. Not only did Winters exhibit empathy in this way, but so did Moore and Ridgway, even at their higher echelons. On one occasion, as Ridgway was being flown to Suwon to meet with MacArthur, he asked his pilot to land on the beachhead during an attack.¹⁷⁷ “Ridgway remembered: ‘I stepped out and walked among the men who were leading the attack. This never failed to provide me with a deep inner satisfaction and I believe it always had

¹⁷⁴ Ambrose, *Band of Brothers*, 48.

¹⁷⁵ Department of the Army, ADRP 6-22, 3-3.

¹⁷⁶ *Ibid.*

¹⁷⁷ Blair, *The Forgotten War*, 739.

a heartening effect too upon the troops, who were always glad to see the ‘Old Man’ up with them when the going was rough.”¹⁷⁸ As Ridgway walked among his soldiers, he purposefully received an up-close and personal view of his orders in action, while sharing hardships with his soldiers. The consistency with which empathy appeared to build trust in the individual cases suggests that empathy belongs in category 3.

One attribute in particular was difficult to pinpoint in the accounts, but seemed prevalent in all of them. Warrior ethos-service ethos consists of a combination of attributes and competencies, and seems more like a desired outcome for a soldier or a unit, as opposed to a leadership requirement. Regardless, the fact that the description of the attribute itself includes Army Values provides for difficulty in the identification of warrior ethos-service ethos specifically, as opposed to a general description. In general, all three individual cases definitely exhibited warrior ethos-service ethos, but due to the redundant and conceptual nature of the attribute, warrior ethos-service ethos is not considered a context-independent trust builder in the present study. If anything, warrior ethos-service ethos is more consistent with the Army ethic.

Discipline in ADRP 6-22 implies the correct application of the Army Values.¹⁷⁹ Additionally, in the individual cases, discipline, on multiple occasions, appeared to play a key role in trust resulting in extraordinary courage and results. In this sense, discipline is both the knowledge of how to appropriately live the Army Values, as well as the understanding of the role discipline plays in leading soldiers. The problem is that there

¹⁷⁸ Ibid., 740.

¹⁷⁹ Department of the Army, ADRP 6-22, 3-5.

are many ways to accomplish discipline. Some of those methods may be less than desirable to the follower, and problematic for building trust.

The Ridgway research documents in particular are full of examples of sound judgment, many of which appeared to build trust, but others that did not appear to build trust. As part of his reinvigoration of the 8th Army, he had determined that many senior leaders needed to be replaced.¹⁸⁰ “Ridgway was convinced the housecleaning must be carried out. His solution to minimize controversy was to do everything possible to disguise the sackings by various artifices.”¹⁸¹ His decision to replace leadership and to do it tactfully can be considered sound judgment, but surely those that he fired were likely to disagree. One of those who would likely disagree was the I Corps G-3 John R. Jeter, who was very well liked and respected.¹⁸² Ridgway reportedly fired Jeter because he had no attack plans.¹⁸³ The firing may have been Ridgway’s way of changing the mindset that had accepted a defensive role in the war. In that sense, his actions could have been considered sound judgment, but also could be considered just the opposite, as Jeter was not only competent, but well liked.

The original category 2 competencies seemed to fit their original category. Leads others, communicates, prepares self, develops others and gets results all appeared to have instances that contributed to building trust and instances that did not appear to contribute to building trust in all cases, with the exception of develops others. Nonetheless, all five

¹⁸⁰ Blair, *The Forgotten War*, 572.

¹⁸¹ Ibid.

¹⁸² Ibid., 574.

¹⁸³ Ibid.

of them were indicative of context-dependent trust builders due to their apparent reliance on the perspective of the follower. How the leader leads others, communicates, develops others and gets results may not be appreciated by the follower. Prepares self is likely noticeable some of the time, but is also likely to be difficult to exhibit positively.

Extends influence beyond the chain of command and stewards the profession were only identified in one case, and that one case appeared to have instances that contributed to building trust and instances that did not appear to contribute to building trust. Ridgway's influence beyond the chain of command was a positive exchange with President Rhee in instances, and at other times not so positive.¹⁸⁴ Stewards the profession was equally challenging to identify, and likely dependent on context. When Ridgway placed a heavy emphasis on waiting to request support until all firepower was employed, that was certainly a way to maximize resources, but may not have contributed to building trust.¹⁸⁵ As a result of hearing about soldiers abandoning equipment, he told his commanders "I don't want to hear of any more previous equipment being abandoned. Any man who lost or threw away or needlessly damaged any piece of equipment or property was going to be court-martialed."¹⁸⁶ If stewarding the profession is "purposeful management and sustainment of the resources," then building trust is context-dependent for this competency.¹⁸⁷

¹⁸⁴ Blair, *The Forgotten War*, 575, 599.

¹⁸⁵ Ridgway, *Soldier*, 206.

¹⁸⁶ *Ibid.*

¹⁸⁷ Department of the Army, ADRP 6-22, 7-15.

Category 3–Context-Independent Trust Builders

Most of the category 3 attributes and competencies were addressed in the individual case narratives, with the exception of two. Both respect and interpersonal tact appeared to consistently build trust in all cases. While young Lieutenant Winters was under the command of Captain Sobel, he saw what a lack of respect, empathy, and interpersonal tact could do to a unit. Winters wrote that “For those of us who served in the company, he treated us with equal disdain, officers and enlisted alike.”¹⁸⁸ Sobel berated the enlisted in formation, and “deliberately embarrassed the platoon leaders in front of their men.”¹⁸⁹ What bothered Winters and the Easy Company officers the most “was not Sobel’s emphasis on strict discipline, but his desire to lead by fear rather than example.”¹⁹⁰ Sobel did not see nor try to see the results of his disciplinary actions on his men, but Platoon Leaders like Winters did.¹⁹¹ Sobel’s actions created a hostile climate that resulted in disrespect for the command, and an inability for junior leaders to model their commander. Winters noted that “As a result Easy Company gave their loyalty and devotion to their platoon leaders, who in turn took care of their men the best they could and who softened Sobel’s dictatorial behavior.”¹⁹² The outcome of this experience for Winters was a tough lesson of the importance of respect, empathy, and interpersonal tact.

¹⁸⁸ Winters, *Beyond Band of Brothers*, 25.

¹⁸⁹ *Ibid.*, 26.

¹⁹⁰ *Ibid.*

¹⁹¹ *Ibid.*

¹⁹² *Ibid.*

Ultimately, Winters mastered all of these attributes and they appeared to significantly contribute to the ethos of trust in Easy Company.

Personal courage was originally identified as a context-independent trust builder in the initial TBM. According to ADRP 6-22, personal courage includes moral courage and “enables all leaders to stand up for what they believe is right, regardless of the consequences.”¹⁹³ When Winters assigned one of his wounded soldiers the responsibility of escorting eleven Prisoners of War to the battalion Command Post, his decision was sound because the wounded soldier could also seek medical care while in the rear.¹⁹⁴ When he realized this same soldier had a history of being rough with prisoners, he told him he would confirm all eleven prisoners made it, and even took all of the wounded soldier’s bullets away except for one to protect himself.¹⁹⁵ This moral courage displayed by Winters could have made him look soft and friendly to the enemy, even as his own soldiers were being killed and wounded. At the time, in the given context, his decision did not appear to contribute to building trust in Easy Company. As a result, personal courage seems to belong in category 2.

The second attribute that appeared to belong in the group of context-dependent trust builders even though it was originally considered context-independent is expertise. For the tactical level commanders in this case study, expertise seemed to be a significant contributor to building trust. For Ridgway, however, expertise as a trust builder appeared to be more complicated and heavily reliant on the perspective of the follower. Battalion,

¹⁹³ Department of the Army, ADRP 6-22, 3-3.

¹⁹⁴ Ambrose, *Band of Brothers*, 152.

¹⁹⁵ *Ibid.*

company, and platoon level infantry officers have a smaller range of expertise required in the conduct of their duties, as well as more control over their reputation amongst their men. The reputation based on expertise of an Army Commander, being far removed from a majority of his soldiers, is convoluted by multiple echelons of command. In the Ridgway case, expertise appeared to be dependent on the context, and therefore seems to belong in category 2.

Revised Trust Building Model

Figure 9 is the revised TBM as a result of the case study. The revised TBM is not meant to suggest that the model is emphatically correct, only that the data that emerged from the case study resulted in recommended adjustments to the proposed model. The revised version, like the initial model, is an attempt to provide structure and organization to an elusive construct. The goal of the model is the pursuit of better understanding and to assist with answering the research questions. The four adjustments to the initial TBM are italicized, and include *personal courage*, *expertise*, *empathy*, and *fitness*.

Category 1 Unlikely to Build Trust	Category 2 Context-Dependent Trust Builders	Category 3 Context-Independent Trust Builders
<ul style="list-style-type: none"> • Attributes • Intellect <ul style="list-style-type: none"> • <u>Mental Agility</u> • <u>Innovation</u> 	<ul style="list-style-type: none"> • Attributes • Character <ul style="list-style-type: none"> • <u>Loyalty</u> • <u>Duty</u> • <u>Honor</u> • <u>Integrity</u> • <u>Personal Courage</u> • <u>Warrior Ethos/Service Ethos</u> • <u>Discipline</u> • Presence <ul style="list-style-type: none"> • <u>Military and Professional Bearing</u> • <u>Confidence</u> • Intellect <ul style="list-style-type: none"> • <u>Sound Judgment</u> • <u>Expertise</u> • Competencies • Leads <ul style="list-style-type: none"> • <u>Leads Others</u> • <u>Builds Trust</u> • <u>Extends Influence Beyond the Chain of Command</u> • <u>Communicates</u> • Develops <ul style="list-style-type: none"> • <u>Prepares Self</u> • <u>Develops Others</u> • <u>Stewards the Profession</u> • Achieves <ul style="list-style-type: none"> • <u>Gets Results</u> 	<ul style="list-style-type: none"> • Attributes • Character <ul style="list-style-type: none"> • <u>Respect</u> • <u>Selfless Service</u> • <u>Empathy</u> • Presence <ul style="list-style-type: none"> • <u>Fitness</u> • <u>Resilience</u> • Intellect <ul style="list-style-type: none"> • <u>Interpersonal Tact</u> • Competencies • Leads <ul style="list-style-type: none"> • <u>Leads by Example</u> • Develops <ul style="list-style-type: none"> • <u>Creates a Positive Environment/Fosters Esprit de Corps</u>

Figure 9. Revised Trust Building Model

Source: Created by author. Derived from The U.S. Army Leadership Requirements Model. Department of the Army, Army Doctrine Reference Publication (ADRP) 6-22, *Army Leadership* (Washington, DC: Department of the Army, 2012), 1-4.

Conclusion

This chapter defined ethos of trust, derived an initial TBM to assist with identifying which attributes build trust, presented the findings of the case study, and concludes with an answer to the final secondary research question. The three individual cases provided an analysis of the attributes and competencies from the LRM to assist in attempting to answer the primary research question: How well does the existing Army Leadership Requirements Model reinforce an ethos of trust? An answer to this question is provided in chapter 5, along with the study conclusions and recommendations.

In order to support the attempt to answer the primary research questions, the final secondary research question needs an answer. How do leader attributes and competencies reinforce an ethos of trust? The attributes and competencies are combined and described in the LRM and ADRP 6-22 to attempt to reinforce an ethos of trust by conveying commitment. Commitment to the relationship between leader and follower, to the mission, to the integrity of the Army, and to the American people. They reinforce an ethos of trust by communicating shared experience through a common heritage and ethic. Some attributes and competencies inspire, unite, and guide; others inform, standardize, and protect. Above all, they represent an acceptance of and the commitment to the leader-follower bond, ensuring the follower that the leader is devoted to the covenant relationship.

CHAPTER 5

CONCLUSIONS AND RECOMMENDATIONS

This concluding chapter contains three sections. The first reviews the link between the research questions and research design. The second section then explains the significance of the data that emerged from the individual cases and cross-case analysis. The third and final section provides recommendations based on the indications that surfaced during this study and suggests areas for further research.

Linking Research Questions and Research Design

This thesis began with a question from the Army Capabilities Integration Center (ARCIC): How does the Army reinforce an ethos of trust? To answer this question, the Army LRM was established as the focal point from which to complete a case study on leadership. A three phase research process was designed in an attempt to facilitate the selected case study method which employed an alternate model from the attributes and competencies organized in the LRM. The first question that surfaced was specific to the ethos of trust, as there was no established definition in Army doctrine. Phase I defined ethos of trust from a review of Army doctrine pertaining to trust. The second and third questions that materialized were specific to the LRM: Which attributes and competencies build trust, and how do they reinforce an ethos of trust? To attempt to answer these questions, Phase II incorporated the research process that the Army utilized to develop the LRM, and abbreviated the process to assist with the derivation of the initial TBM using the attributes and competencies from the LRM. The TBM was the first step of identifying which attributes and competencies build trust. Finally, Phase III used a case

study method that established the TBM as the framework from which to attempt to better understand how the LRM attributes and competencies reinforce an ethos of trust. The three leaders selected for the case study were Matthew B. Ridgway, Richard D. Winters, and Harold G. Moore.

One of the discoveries that emerged during the review of literature was the suggestion in ADRP 6-22 that “Leaders build trust with their followers and those outside the organization by adhering to the leadership competencies and demonstrating good character, presence, and intellect.”¹⁹⁶ The fact that the LRM is categorized into attributes and competencies, and the attributes are subdivided into character, presence, and intellect, means that the leader must adhere to the entire LRM to build trust. While there is nothing necessarily incorrect with that statement, it begged the question: How well does the existing Army Leadership Requirements Model reinforce an ethos of trust? This primary research question has been answered in part through the narrative in chapter 4, where the case study leader attributes and competencies were identified, and the appearance of their contribution to building trust and the ethos of trust were conveyed. The existing LRM appeared to be adequate in reinforcing an ethos of trust in the case study. Deriving the TBM and making determinations on whether or not the attributes and competencies appeared to contribute to trust building in the instances they were identified assisted with the specific aspect of how well the attributes and competencies build trust. From this approach an in depth analysis of the LRM was enabled in an attempt to extract more pertinent data for use in answering the primary research question.

¹⁹⁶ Department of the Army, ADRP 6-22, 6-7.

Significance of the Study

The TBM provided depth to the analysis, and was a necessary element to begin the selected case study research design. Although the model was in part an attempt to answer the research questions, there are a few key takeaways from the model itself. While some may be drawn to the category 3 attributes and competencies as necessarily standing out from the others of their own accord, they are not intended, nor are they able to serve as a panacea to trust issues in an organization. What might be said of the category 3 attributes and competencies, however, is that their apparent context-independent nature may be of use for the Army leader. If the category 2 attributes and competencies can be said to be context-dependent, then they are likely less predictable than the category 3 attributes and competencies when it comes to trust building. Focusing on the category 3 attributes and competencies when a leader is new to an organization is a way to establish a foundation of trust. An early focus on the category 3 attributes and competencies can serve as a relative safe zone to take the initial steps towards an ethos of trust. Furthermore, if the category 3 attributes and competencies can provide a strong foundation, then they are also likely to be able to assist with sustaining the ethos of trust throughout the tenure of the leader. Paying attention to and nurturing this foundation is likely to be time well spent. Finally, a foundation provided by the category 3 attributes and competencies can cushion the misapplication of the context-dependent attributes and competencies, stabilizing the ethos of trust.

The greater significance as relates to the TBM may actually come from the category 2 attributes and competencies, if for no other reason than the fact that they more than double those in category 3. The apparent context-dependent attributes and

competencies are significant because they require more special attention in their application. If leaders want to build trust in their organizations, then they should understand the context-dependent nature of the category 2 attributes and competencies better. The use of the word “adhering” in ADRP 6-22 then should be considered literally, and Army leaders should fully comprehend the application of the attribute or competency according to the doctrine and not just take them at face value.¹⁹⁷ This necessitates that ADRP 6-22 provide descriptions of the attributes and competencies such that Army leaders can visualize and understand how those attributes and competencies contribute to reinforcing an ethos of trust. Army leaders should also understand that the trust building power of the LRM not only resides in the individual attributes and competencies, but in the combination of them.

When Richard D. Winters jumped into the middle of the road to inspire his men to continue the assault into Carentan, he displayed a combination of duty, selfless service, personal courage, resilience, and leading by example that thrust his men into action. He was exhibiting dedication to accomplishing the mission, while simultaneously caring for his men. There are likely other attributes and competencies from the LRM that Winters displayed during that incredible act of leadership under fire as well, indicative of another aspect of the LRM that is noteworthy. The LRM, for the most part, is a well-established list that provides ample opportunities to improve awareness and understanding of the required attributes and competencies, and display them in combination. The highest degree of trust building found in this study seemed to occur at the figurative intersection of character and competence. The more Army leaders know and understand the LRM, the

¹⁹⁷ Department of the Army, ADRP 6-22, 6-7.

better able they will be to exhibit the attributes and competencies in combination in their everyday lives, as well as in battle. The case study has provided indications of the interrelatedness of the attributes and competencies, and suggested that when exhibited in combination, they have an almost exponential effect. In the Winters case in particular, when he inspired his men to continue the assault, the effect on his men appeared to be a degree of reciprocity or mirror-imaging. This response may not have occurred if Winters had not been leading from the front.

Another common theme throughout the case study that is not necessarily specific to the LRM was leading from the front. Understandably, Ridgway was limited in his ability to lead from the front as a commander at the Army echelon, but he made an effort. Leading from the front in this case study contributed to the ethos of trust through the resulting shared experience and hardships. It appeared that whenever the Army organizations from the case study felt that their leader was sharing their hardships, and that they had a common history from shared experiences, the impact was immense. The case study suggests that Army leaders at all levels will build trust with their units in this way. Leading from the front does not, however, mean doing the job of subordinates.

When Ridgway arrived in the Pacific to take command of the 8th Army, he first met with General MacArthur, where he hoped to better understand his left and right limits. What he was told by MacArthur is also a trend that was seen in all the individual cases. When Ridgway asked MacArthur if he had the authorization to initiate an attack if he discovered the situation in Korea presented that option when he arrived, he was told

“Do what you think best, Matt . . . the Eighth Army is yours.”¹⁹⁸ MacArthur was assuming risk and extending trust to his direct subordinate. Ridgway later would suggest “That is the sort of orders that puts heart into a soldier.”¹⁹⁹ Extending trust contributed to the ethos of trust throughout the individual cases, and may be an excellent complement to the “builds trust” competency on the LRM. In light of the significance of trust to the Army profession and mission command, it follows that “extends trust” may be a requirement as well.

The idea of extending trust to followers in the leader-follower dynamic takes advantage of what can be considered in this study as a rival theory. Some research identified in chapter 2 suggests that the follower plays a larger role in trust in organizations based on their propensity to trust. Instead of comparing the trust building merits of the leader’s trustworthiness versus the follower’s propensity to trust, this thesis suggests that the leader requirements can positively influence the follower’s propensity to trust. By extending trust the leader is modeling trust for the follower, which may result in reciprocity of trust. Also, the fact that the LRM is not limited to certain leaders in the Army, and that most soldiers are in fact leaders, suggests that the inclusion of “extends trust” may become normative for all leaders over time, reinforcing an ethos of trust in Army culture.

The nature of the LRM applying to all leaders in the Army is also a significant aspect of this case study. The leaders in this thesis arguably exhibited a variety of leadership styles throughout their time in the inclusive organizations. Without detailing

¹⁹⁸ Ridgway, *Soldier*, 210.

¹⁹⁹ *Ibid.*

the specifics about the individual leadership styles, the research suggests that the LRM reinforces an ethos of trust by not applying a prescriptive list of leader requirements. The Army LRM attributes and competencies appear to be conducive to a number of different leadership styles, allowing for the leader requirements to be applied without restricting leaders to a specific leadership theory. Although beyond the scope of this thesis, there may be some value in researching which leadership style is best suited to building trust with the given LRM attributes and competencies.

Regardless of leadership style, surveys and reports over the last few years provide some noteworthy points as this thesis concludes. The first is the finding of the *2013 Chief of Staff of the Army Leader Development Task Force Final Report*. The survey question of note is “Which leader attribute has the most impact on being an effective leader?”²⁰⁰ Of the twenty-three attributes provided in the survey, many of which were not on the LRM, the number one attribute was trustworthiness. As trustworthiness is not specifically identified as an attribute on the LRM, perhaps an expansion of the “builds trust” competency would indirectly synchronize efforts with the findings of the survey. Another parallel between the outcomes of this research and recent surveys and reports is the Center for the Army Profession and Ethics, *Annual Survey of the Army Profession* FY 2015. The following quote from the report captures the essence of the general understanding of trust and loyalty, but difficulty with shared understanding of the ideal.

Army professionals express agreement or strong agreement that their professional loyalty is to the Constitution (98%). They are committed to honoring the bond of trust between the Army and the American people (97%). They understand that condoning unethical practices will compromise external trust (96%); and they know that earning the trust of the people requires that the Army demonstrate its

²⁰⁰ Center for the Army Profession and Ethics (CAPE), *2013 Chief of Staff*, 127.

essential characteristics as it accomplishes its missions (90%). However, there is meaningful difference between Army professionals' shared understanding of and commitment to these ideals and their expressed confidence that the Army Profession will live up to them. There is also indication that internal trust between Soldiers and Army Civilians and Soldiers among the components is in need of strengthening.²⁰¹

According to the case study, loyalty remained in category 2 as a context-dependent trust builder, for the very same reason described in the report. The truth is that trust is complex, but if the appropriate application of loyalty, for instance, can build trust, then the description of loyalty in ADRP 6-22 should detail how, or at least attempt to explain. Focusing the description of attributes and competencies toward how they build trust and reinforce an ethos of trust in ADRP 6-22 may provide clarity towards shared understanding on the issue of trust.

Finally, the case study analysis provided some indications that there is a direct relationship between the leader's ability to build trust, the ethos of trust, and the fighting spirit of soldiers. This has the potential to be the most significant aspect of this thesis, as it relates specifically to the ability to successfully execute the Army's stated mission. The implication is that if the leader is unable to build trust, or worse, damages trust through his or her actions, thereby damaging the ethos of trust, then the Army may be unable to fight and win the nation's wars. Ultimately, Army leaders best reinforce an ethos of trust in the Army profession by intentionally leading by example, displaying their fitness and resilience, demonstrating respect, selfless service, empathy and interpersonal tact, and

²⁰¹ Martin P. Brockerhoff, Francis C. Licameli, and Patrick A. Toffler, *CAPE Annual Survey of the Army Profession (CASAP FY15)* (Fort Leavenworth, KS: Combined Arms Center, 2015), 11.

purposefully creating a positive environment that fosters esprit de corps to accomplish the Army mission.

Recommendations and Further Research

Based on the research in this study, a few recommendations are suggested. The first is for ADRP 6-22. Although generally a well-rounded leadership doctrine, perhaps more details about building trust should be included in the “builds trust” description. Additionally, as reviews of the doctrine are conducted, consideration to tailoring the descriptions of the attributes and competencies toward building trust and reinforcing an ethos of trust will provide a reference for shared understanding.

A second recommendation is based on the issue of the propensity of followers to trust, and relates more specifically to mission command. As indicated in the literature review, for some researchers, trust in organizations is more than the trustworthiness of the leader. Leadership certainly has an important role in the culture of trust in organizations, but the followers and their propensity to trust has been established as a necessity as well. Therefore, in order for the Army to achieve the desired ethos of trust, the propensity to trust must be addressed as well. The propensity to trust may find some remedy in the inclusion of followership theory in Army doctrine. The addition of a section or chapter on followership in ADRP 6-0 seems appropriate based on the established critical importance of trust to mission command.

Finally, among the discoveries throughout the research process is the absence of a key phrase in ADRP 1, at least as indicated by the Ridgway case and his relationship with

Syngman Rhee.²⁰² In the description of trust as an essential characteristic in ADRP 1, the following is identified: “The Army’s ability to fulfill its strategic role and discharge its responsibilities to the Nation depends on—Trust between Soldiers, Trust between Soldiers and Leaders, Trust between Soldiers and Army Civilians, Trust among Soldiers, their Families, and the Army, and Trust between the Army and the American people.”²⁰³ Based on the Ridgway case, the following is recommended to be added as well: “Trust between the U.S. Army and Multinational Partners.”

Further research on trust is highly recommended. Trust in a complex world and trust in the age of information seems particularly useful for the Army. As building trust has been the primary focus of this thesis, and will likely be a continued endeavor for the Army, perhaps sustaining trust provides opportunities for further exploration as well.

²⁰² Blair, *The Forgotten War*, 575.

²⁰³ Department of the Army, ADRP 1, 1-4.

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