UNITED STATES NAVY OFFICER LEADER DEVELOPMENT:
AN ANALYSIS OF SURFACE WARFARE OFFICER TRAINING

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Examination of both Army and Navy mid-grade leadership courses will gage the competing services level of leader development and the effectiveness of the Department Head Leadership Curriculum. The survey revealed low marks for Resource Management and Leading Change in both services. Recommendations are made for improving SWOS leadership and offers options for future study.

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ABSTRACT

UNITED STATES NAVY OFFICER LEADER DEVELOPMENT: AN ANALYSIS OF SURFACE WARFARE OFFICER TRAINING by LCDR Robert R. Blackwell, 92 pages.

The surface warfare community prides itself on having the most capable, best trained, and most proficient leaders at the Department Head (DH) level. This assumption stems from an age when the "Head of Department" was a seasoned, matriculated, and more senior officer, both chronologically and by years of service. Today's DH normally has five to seven years of naval officer experience, is still in his twenties, likely has only three years of experience at sea, and possesses few of the core competencies required of the position. Surface warfare officer department head leadership development is the thesis topic under examination. This study asks, "Does Surface Warfare Officer School (SWOS) offer the instruction and leadership training required to meet 21st century Department Head requirements?"

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ACKNOWLEDGMENTS

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ACRONYMS

ADM	Admiral
BOLC	Basic Officer Leaders Course
C5	Captain's Career Common Core Course
CAPT	Captain
CBT	Computer Based Training
CCC	Captain's Career Course
CDR	Commander
CGSC	Army Command and General Staff Command
CGSS	Army Command and General Staff School
CMD	Command
CNL	Center for Naval Leadership
CO	Commanding Officer
CS	Combat Systems
DH	Department Head
DHLC	Department Head Leadership Curriculum
DIVO	Division Officer
ENG	Engineering
ENS	Ensign
FM	Field Manual
GEN	General
HAZMAT	Hazardous Material
HQ	Head Quarters
IOLC	Intermediate Officer Leadership Course

JPME	Joint Professional Military Education
LCDR	Lieutenant Commander
LDP	Leader Development Programs
LDRG	Leadership Development Resource Guide
LE	Life Experience
LT	Lieutenant
LTJG	Lieutenant Junior Grade
MAJ	Major
NPS	Naval Postgraduate School
NROTC	Naval Reserve Officer Training Corps
NWC	Naval War College
OAC	Officer Advanced Course
OBC	Officer Basic Course
OCS	Officer Candidate School
OJT	On-The-Job Training
OPS	Operations
PG	Post-Graduate
POA&M	Plan of Action and Milestones
PQS	Personal Qualification System
RADM	Rear Admiral
RET	Retired
ROTC	Reserve Officer Training Corps
SRT	Shipboard Readiness Training
SRTC	Shipboard Readiness Training Curriculum
SUPPO	Supply Officer

SVC	Service
SWO	Surface Warfare Officer
SWOS	Surface Warfare Officer School
USA	United States Army
USAF	United States Air Force
USMA	United States Military Academy
USMC	United States Marine Corps
USN	United States Navy
USNA	United States Naval Academy
USS	United States Ship
VADM	Vice Admiral
XO	Executive Officer

ILLUSTRATIONS

CHAPTER 1

INTRODUCTION

Leader development training is always changing. One challenge is knowing when to make a change in how an organization trains its personnel. A relevant question for U.S. naval officers may ask is: How are naval surface warfare officers developed and trained to meet 21st century department head (DH) requirements? The surface warfare community prides itself on having the most capable, best trained, and most proficient leaders at the DH level. This assumption stems from an age when the "Head of Department" was a seasoned, matriculated, and more senior officer, both chronologically and by years of service. Today's DH normally has five to seven years of naval officer experience, is still in his twenties, likely has only three years of experience at sea, and possesses few of the core competencies required of the position.[1]

Background

Since the birth of the US Navy, the US officer promotion system was similar to the British naval promotion system. An able seaman would normally receive a commission as a midshipman depending on their merits or political background. An undetermined amount of years would pass until the person was promoted to a higher officer position. This promotion was dependent on their performance as an acting officer or dependent on the needs of the Navy to fill an officer billet. Chronologically the Navy ranking system between 1794 and 1815 varied between number of naval officer and the

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[1] LT Susan Henson, USN. "Surface Warfare Officers to Benefit from Training Alignment", Navy.Mil, http://www.navy.mil/search/display.asp?story_id=21913, (Accessed December 02, 2008.)

number of officer ranks in the Navy.[2] The Peace Establishment Act in 1801 was intended

to reduce the number of officers in the officer corps to 9 captains, 36 lieutenants, and 150

midshipmen.[3] The rank between captain and lieutenant, master commandant, was also

removed from the system by the Peace Establishment Act. In 1809 the number of naval

officers in the Navy increased to a realistic number of 13 captains, 9 master

commandants, 72 lieutenants, and 450 midshipmen to compensate for the current events

taking place in Tripoli and England.[4] During the American Civil War, Admiral George

Dewey began his service as a midshipman and he was promoted to Lieutenant.[5] Dewey's

example of promotion reflected the "needs of the Navy." This undetermined amount of

time between promotions from midshipmen to Ensign was enacted by Congress in 1801

but was finally regulated by 1812.[6] The Navy promotion system kept evolving through

the years and improvements in the development process of naval officers accommodated

changes in technology and refocused national interests.

As recent as 1995, naval officers received their initial leadership training as a

midshipman while attending the United States Naval Academy (USNA), the Naval

Reserve Officer Training Corps (NROTC) unit, or Officer Candidate School (OCS). This

leadership training period covered officer training expected of their midshipman grade

level. In 1995, at all of the Navy pre-commissioning schools or programs, basic

leadership skills of morality, ethics, decision making, and motivation were taught;

students also study historical examples or "case-studies" of preeminent leaders in the

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[2] McKee, Pg. 36
[3] Ibid, Pg. 37
[4] Ibid.
[5] Biographies in Naval History, "Admiral of the Navy George Dewey, USN", Naval Historical Center, http://www.history.navy.mil/bios/dewey_george.htm#bio, (Accessed December 02, 2008.)
[6] McKee, Pg. 38

Navy.[7] Upon graduation from one of these commissioning programs, the midshipmen receive a commission as a US naval officer with the rank of Ensign and choose a specialty. The Ensign can choose Aviation Warfare, Special Operations, Special Warfare, Supply Corps, Submarine Warfare, or Surface Warfare to name a few of the primary specialties. The surface warfare officer will be the focus of this thesis.

A surface warfare officer is a naval officer who is an expert in naval surface warfare and is inherently assigned to run daily operations on a naval ship.[8] All surface warfare officers attended surface warfare officer school (SWOS) located in Newport, Rhode Island for division officer school. While at SWOS, leadership training was only briefly taught to the naval officers while most of the six months of training focused on naval tactics and basic naval knowledge. Leadership training was further developed during the Ensign's first three years aboard a ship through personal experiences and commanding officer training programs and from that of his senior officers. The officer was promoted to Lieutenant in four years and was assigned to a shore billet where leadership training was not normally a priority. The officer then received additional leadership training during SWOS – Department Head School. Figure 1 shows the promotion progression chart of a surface warfare officer in 1995.

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[7] Mack, Pg. 445
[8] Ibid, Pg. 353

SURFACE WARFARE OFFICER - PROFESSIONAL DEVELOPMENT PATH (1995)

RANK	YCS	ASSIGNMENT PIPELINE	
LCDR	15	POST XO TOUR SEA STAFF CO	3RD SHORE: - SUBSPECIALTY - SR SVC COLLEGE - WASHINGTON D.C. - TRAINING CMD / STAFF
	14	LCDR XO TOUR	
	13	JR SVC COLLEGE	SEA STAFF / DEPT HEAD
	12	2ND SHORE: - PG SCHOOL - SHORE STAFF - PG UTILIZATION	
	11	JR SVC COLLEGE	
LT	10	DEPT HEAD SPLIT TOUR SHIP / STAFF	
	9		NEW CONSTRUCTION
	8	DEPT HEAD SHIP	
	7		
		DEPT HEAD COURSE SWO SCHOOLS CMD	
	6	FIRST SHORE: - STAFF - RECRUITING - PG SCHOOL	
LTJG	5		NEW CONSTRUCTION OTHER AFLOAT
	4		
	3	FIRST SEA TOUR DIVISION OFFICER LEVEL (BASIC SWO QUALIFICATION)	
ENS	2		
	1	BASIC COURSE SWO SCHOOL CMD ENROUTE TRAINING	

SURFACE WARFARE OFFICER - PROFESSIONAL DEVELOPMENT PATH (1995)

Figure 1.   Surface Warfare Officer Promotion Chart, 1995.
Source: Created by author, information from The Naval Officer's Guide (10th ed), p.354

In 2008 midshipman training remains the same, but now the surface warfare officers are on board their ships for roughly one year prior to attending the division officer school. During this first year aboard the ship, the officer learns leadership through personal experiences and through *SWOS in a box*.[9] SWOS in a box is a laptop computer program with all of the same training material presented from the division officer school.

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[9] LTJG Kate Shovlin, USN. "'SWOS-in-a-Box': Generation Y'S Division Officer Training", U.S. Naval Institute, http://www.usni.org/getthegouge/insider/hottopics/stories.asp?print=Y&ID=76, (Accessed November 07, 2008).

SWOS in a box contains a few lessons on leadership, but just like the naval officer

training prior to 1995, most of the training comes from personal experiences and

commanding officer training programs conducted while the officer is on a ship at sea and

from their DHs.

SURFACE WARFARE OFFICER - PROFESSIONAL DEVELOPMENT PATH (2008)		
RANK	YCS	ASSIGNMENT PIPELINE
LCDR	16	XO/CO COMMAND AFLOAT
		SURFACE WARFARE OFFICER SCHOOL (XO/CO COMMAND)
	15	2ND POST DEPARTMENT HEAD TOUR ASHORE DC / JOINT / JPME EXP. TOUR / AFLOAT TOUR
	14	
	13	1ST POST DEPARTMENT HEAD TOUR ASHORE DC / JOINT / JPME EXP. TOUR / AFLOAT TOUR
	12	
	11	
LT	10	2ND DEPARTMENT HEAD TOUR AFLOAT
	9	1ST DEPARTMENT HEAD TOUR AFLOAT
	8	
		SURFACE WARFARE OFFICER SCHOOL (DEPARTMENT HEAD)
	7	SHORE COMMAND (MASTERS PROGRAM)
	6	
	5	
LTJG	4	2ND DIVISION OFFICER TOUR AFLOAT
	3	
ENS	2	1ST DIVISION OFFICER TOUR AFLOAT
	1	
SURFACE WARFARE OFFICER - PROFESSIONAL DEVELOPMENT PATH (2008)		

Figure 2.   Surface Warfare Officer Promotion Chart, 2008.
Source: Created by author, information from Navy Personnel Command, PERS-41, SWO
Community Brief October 08, (Accessed: October 30, 2008.)

Following the first year on board a ship, the junior officer attends SWOS –

Division Officer School in Newport, RI and each officer receives the practical hands-on

portion of their training. After three years of sea duty, the officers have the option to

assume a shore billet or move directly into a department head billet if selected. After

these three years in the Navy, the officers now have the option to move on and become an

officer in charge of a department. They attend SWOS – Department Head School and

receive a limited amount of leadership training. Following SWOS, the officer returns to

the fleet for follow-on assignments as a department head. Figure 2 shows the promotion

progression chart of a surface warfare officer in 2008.

Primary Research Question

Surface warfare officer department head leadership development is the thesis

topic under examination. Does Surface Warfare Officer School (SWOS) offer the

matriculation and leadership training required to meet 21st century Department Head

(DH) requirements? In order to answer this question, the researcher will first determine

what the requirement for SWOS is and then determine if the Navy is meeting their officer

leadership requirements.

Secondary Research Questions

Secondary and tertiary questions were developed from the primary research

question. How is SWOS leadership training effective? How does earlier training or

continuous training for leadership and management increase the naval officer's ability to

effectively use or increase life experiences? Is the Navy meeting their officer leadership

requirements?

Significance

The experience level of today's department head is steadily decreasing. At what point will the Navy set a standard delineating when an officer will be able to assume the responsibility of being a DH? A young naval officer could be competent in the job as a division officer but may not be ready to transition to the department head position either due to a lack of personal maturity or a lack of confidence in assuming higher leadership responsibilities. If officers are not ready for increased leadership, their follow-on career will not be a success. By not having a sufficient amount of experience and adequate leader development training, today's department heads and tomorrow's Commanding Officers will have difficulty accomplishing their jobs in the Navy. Results of this thesis show a deficiency in the naval officers' ability to manage resources and lead change. The results from this study have shown evidence that the naval surface warfare officer is deficient in areas of resource management and leading change.

Assumptions

This thesis required access to naval officer training syllabuses as well as access to the results from the SWOS DH feedback program to analyze the current leader development status of today's department heads. Another assumption is that there is a quality decrease in naval officer leadership skills due to the requirement to assign officers as department heads earlier in their careers. Another assumption is that the research conducted on current SWO's attending the Command and General Staff School (CGSS) and SWOS attending the Department Head School was an accurate assessment of mid-level naval officer leader development. The final assumption is that the Army has a good

system for developing leaders because the nature of the Army officer is to lead many people.

Limitations and Delimitations

The study reviewed DH leader development experiences. Following Army doctrine in Army Field Manual, FM 6-22 Army Leadership, the research included analyzing leadership courses from the three core domains of leadership training; institutional, operational, and self study. The Navy's leadership training includes surface warfare school, Commanding Officer personal tailored leadership training programs at sea, and the individual officer's self directed efforts in leader development. The thesis will not cover Mentorship or 360 Feedback. The study into military culture upbringing will be limited to show only the results from the survey. The thesis will not analyze whether the Naval Core Competencies are right for the 21st century. The research compared the differences in the Navy and Army leadership courses offered from their respective training schools. Time is always of the essence and therefore the amount of research was limited in order to complete this thesis in less than a year. No research was conducted on any other training courses conducted at SWOS other than the leader development training courses.

CHAPTER 2

LITERATURE REVIEW

"The greatest problem facing the naval officer, if he purposes to make the service a
career, and most do, is leadership." [10]
– RADM William V. Pratt USN (Ret)

Restatement of Problem

As a guide for research, the primary question focused on the mid-level career of

the naval officer. Does Surface Warfare Officer School (SWOS) offer the instruction and

leadership training required to meet 21st century department head requirements? The

remaining research questions assisted in answering the primary questions. How much

institutional training is dedicated to leadership, management, and tactical training for

naval officers during SWOS? Likewise, how much institutional training is provided for

Army officers? Are there commonalities in leadership training between the two military

services?

The purpose of chapter 2 is to review the materials that discuss leader

development while focusing on the mid-level naval officer. This focus was partitioned

into three major sections which will cover the history of U.S. naval SWO training, Army

leader development, Navy leader development, and additional topics of leader

development.

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[10] Wolfe. Pg 1

Navy Officer Background

There are numerous US Army leadership publications compared to specific Navy leader development publications. A review of naval history and biographies of naval leaders provided clues to how the traditional naval officer has historically been molded and groomed for additional leadership responsibilities. This introduction contains naval verbiage allowing the reader the common understanding of terms familiar to Navy Surface Warfare Officers (SWOs).

Fundamentally, a warship is a ship with a mission and purpose to combat other ships in navigable waters with the intent of projecting and protecting the United States' shipping lanes and commerce.[11] Types of warships vary dependent upon the purpose and intent of missions and tasks performed. The United States Navy maintains fifteen different classes' of warships protecting US shipping lanes. Warships are commanded by a Commanding Officer (CO) who is solely responsible for the safety of the ship and the personnel assigned, while accomplishing the nations missions. The CO is assisted by the Executive Officer (XO) who is responsible for managing personnel, the ship's routine, and discipline.[12] The XO is also the second most senior officer onboard the ship and the XO is next in charge of the ship in case the CO is disabled. Dependent upon the specific class of ship, U.S. Navy ships are organized by department and division dividing responsibilities and accountability of mission sets coordinating efforts required to maintain functional skill sets required within the complexity of a warfighting organization. One example is the engineering department aboard a ship. The engineering department is responsible for the ship's propulsion and auxiliary systems that support the

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[11] Naval Doctrine Publication 1, Pg. 7
[12] Bearden, Pg 305

sustainability requirements of a ship on the high seas. This department is sub-divided into specialized divisions; main propulsion, auxiliary and electrical. Each department is commanded by a department head. Each department head has a prescribed number of division officers who assist in managing the specialized divisions.

A naval surface warfare officer is commonly referred to in Navy parlance as a SWO, or a *Black Shoe*, or *Shoe.* [13] Historically a Shoe is accorded this reference due to the difference in the type, style, and color of shoes worn aboard ship compared to other Navy communities. A Shoe is commissioned by the U.S. Congress in the rank of Ensign and serves at the pleasure of the President of the United States and the officers appointed over him. Once qualified in Surface Warfare, a SWO's expertise lies in seamanship, navigation, and the employment of weapons and ordnance organic to U.S. Navy ships of the line – both warships and auxiliary ships.

A typical SWO begins their career at sea on a U.S. Navy warship as a division officer (DIVO). Division officer billets are usually filled by very junior officers without specific qualifications, other than specialty courses in their orders.[14] They are assigned a group of enlisted personnel, who are further organized into work centers; DIVO's are responsible for leading, training, supervising, and ensuring the performance of their division personnel toward the training, preparation, and mission readiness of the ship. Following two division officer tours, officers normally attends a postgraduate school to further education. Other DIVO's chose to be assigned to another sea billet or a shoreside support command. Examples of the shoreside support command alternative are: another

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[13] USNA.Org, "NAVspeak Glossary – Translation of Navy Slang for Parents." US Naval Academy, http://www.usna.org/handbook/navspeak.html (Accessed December 02, 2008.)

[14] Mack. Pg 173

tour of duty on another ship as a division officer, as an officer in charge of a special boat unit detachment, as a company officer at the United States Naval Academy, or as a training officer of an afloat training group.

Following either path of assignment, the next career milestone for a naval officer is assignment as a DH or head of department. Department head officers are responsible for organizing and training their departments for battle, preparing and writing bills and orders for their departments, and assigning and administrating all personnel of the department.[15]

Figure 3.   United States Naval Academy Midshipman Training Aboard a Ship, 1890.
Source: http://www.usna.edu/VirtualTour/150years/images/3405.jpg, (Accessed March 04, 2008.)

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[15] Mack, Pg. 173

History U.S. Navy Surface Warfare Officer Training

The U.S. Navy was officially formed on October 13, 1775, but naval operations did not start until March 27, 1794, following the declaration of war by Algeria.[16] The rank structure then consisted of Midshipman, Lieutenant, Master Commandant, and Captain. Navy leaders of that time agreed that leadership training, including surface warfare training, was best developed on board a ship.

The ship was the best place to learn the skills, values, and the culture of the naval officer because all of the resident knowledge of their trade was learned and passed down from experienced naval officers. Naval regulations of 1802 required that the chaplain of the ship also served as the schoolmaster. According to Naval Regulations of 1802, "He shall perform the duty of a school-master; and to that end he shall instruct the midshipmen and volunteers, in writing, arithmetic and navigation, and in whatsoever may contribute to render them proficients."[17] The Capitan of the ship ensured the quality of the training was high by attending and participating in some of the training sessions.

Commissioned ships were assigned midshipmen during their cruises to teach the potential naval officers enough skills to qualify and promote them to Lieutenant. Mrs. Jean Alice Ponton stated:

> Commanding Officers were to ensure that the schoolmaster aboard ship instructed them in subjects related to their profession. Midshipmen were required to keep a regular journal which was to be delivered to the commanding officer of the ship at certain times. The navy also expected them to spend part of their time studying naval tactics and acquiring a thorough and extensive knowledge of all the various duties performed on ship.[18]

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[16] McKee, Pg. 3
[17] Navy Regulation of 1802, Pg. 18
[18] Ponton, Pg. 28

Until the establishment of the U.S. Naval Academy (USNA) on October 10, 1845, did formal naval education take place ashore.[19] The education of the naval officer was not solely committed to the USNA; the requirement still involved afloat time on board a warship. The job of the naval officer remained relatively constant until World War II. Mr. Malcolm Muir Jr., remarked:

> Training took place on board ship on an ad hoc basis – a system sometimes called "makee-learn." This method had worked well enough before World War II when it was relatively simple for an officer to become well indoctrinated in all branches of naval warfare. The state of the art remained essentially constant for many years; techniques, once learned, were applicable for a long time. It was not uncommon for an officer to serve in varied billets in aircraft carriers, battleships, cruisers, oilers, and supply ship, finding that, upon ultimately assuming command of a destroyer, everything he had learned during the preceding years was still current and useful. Nothing had changed.[20]

World War II sparked a rift within the Navy. New technologies forced the Navy to grow and branch into separate specialties. Naval aviation and submarine warfare required specialized training that could not be taught aboard a ship but were instead taught ashore. Technologies on board ships were too new for the seasoned naval officers, but the training process did not change for them. The number of SWOs decreased with the new demand to fill aviation and submarine billets. The promotion rate for aviators and submariners was greater than the promotion rate for SWOs. Many of the veteran SWOs felt that they were second-rate citizens within the Navy due to their decreased rates of promotion compared to naval aviators and submariners. This attitude caused many SWOs to leave the service. This effect left a big gap in SWO expertise and caused a reactionary urgency to fill the vacated positions. Naval officer education and skills

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[19] USNA.Edu, "History of the US Naval Academy – First 150 Years.", US Naval Academy, http://www.usna.edu/VirtualTour/150years/, (Accessed March 08, 2008.)
[20] Muir, Pg. 10

suffered as a result of the officer exodus. An example of this phenomenon, Muir

describes a young Admiral Jeremiah:

> When he was an ensign, Admiral David E. Jeremiah found himself certified as a
> qualified Officer of the Deck by the commanding officer of his ship after standing
> only three watches. This approach was less and less satisfactory as more complex
> equipment came onboard new ships.[21]

Junior officers ended up "fleeting-up" on the same ship and served as heads of

departments.[22] The caliber of the SWO continued its downward slope until Vice Admiral

William R. Smedberg, Chief of Naval Personnel, initiated plans establishing a school to

train SWOs in the new technologies. In January 1962, U.S. Naval Destroyer School was

established.[23] The U.S. Naval Destroyer School became the new place where the

experienced naval officers could teach all SWOs the required education and training

needed to bring stability back into the fleet. Of significant note, 10 hours of leadership

training was administered to the first graduating class. By 1965, "fleet-ups" were no

longer required and almost all warships had at least one graduate from the U.S. Naval

Destroyer School aboard ship. The Navy did not stop there; they added a prospective

commanding officer's course in 1969.

The importance of education within the officer corps continued to increase and

the requirement for rigorous formalized schooling took place at the U.S. Naval Destroyer

School. In 1970 the name of the destroyer school was changed to Surface Warfare

Officer School (SWOS) and included a basic course for recent college graduates.[24]

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[21] Muir, Pg. 120
[22] Ibid, Pg. 121
[23] Ibid, Pg. 120
[24] JO2 Jim Buck, USN. Surface Warfare – SEP 1975 *"Ensign to Captain" The Ladder Up,* Pg. 39

Lessons normally taught to officers at sea were now taught to the officers at the SWOS –

Basic Course located at Newport, Rhode Island.

Figure 4.   Surface Warfare Officer School Basic, Newport RI.
Source: https://wwwcfs.cnet.navy.mil/swos/restricted/Doc/Briefs/SWOS%20DOC
%20Brief.ppt, (Accessed April 10, 2008.)

After graduating from the six-month SWOS, junior officers reported to a warship

for their first assignment where they used the lessons they learned and gained experiences

with the crew. The junior officers spent most of their time learning their specialized

division assignments while qualifying for watch stations. Upon qualifying as Combat

Information Center and Officer of the Deck, the junior officer was eligible to go before a

board of qualified SWOs and demonstrate his knowledge in surface warfare. If successful

at the board, the junior officer earned the designation of SWO. During the next afloat

assignment, the junior SWO concentrated more on how to command their division. It was

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not until the six to eight year point in their naval career did the naval officers attend

SWOS again for department head school.

<u>Army Leader Development</u>

In October 2006, the U.S. Army published field manual (FM) 6-22 to replace FM

22-100 on Army Leadership. Chapter 8 of FM 6-22 specifically describes Army leader

development and how to train for all areas of leader development. The glossary in FM 6-

22 describes leader development as:

> Leader Development – The deliberate, continuous, sequential, and progressive process, grounded in the Army values, that grows Soldiers and civilians into competent and confident leaders capable of decisive action.[25]

There are three pillars or core domains to Army leader development that should

be developed by the officer in order to grow as a competent leader. These three core

domains that shape the critical learning experiences a leader performs are: institutional

training, job experience gained during operational assignments, and self-development.[26]

These three domains ensure that the officer gains the knowledge and experience through

all areas of expertise in leadership.

Institutional training is the first pillar of leader development and is typically

conducted at service academies, ROTC units, Officer Candidate Schools (OCS), and

educational institutions (i.e., the Officer Basic Course, The Captain's Career Course, The

Naval War College) throughout a military officer's career. At the military educational

institutions the person receives theoretical and practical lessons on leadership. The

institutions provide a safe atmosphere where the student can concentrate on textbook

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[25] Army Field Manual 6-22, Glossary 3
[26] Army Field Manual 6-22, Paragraph 8-53

definitions, theories, characteristics, and previous lessons learned in leadership. The

institutional pillar also provides the all-inclusive tools one needs to survive their next

operational assignment. This pillar also provides the student with the confidence to face

potential leadership challenges.

 Job experience provides the practical lessons to learn leadership from seniors,

peers, and junior personnel. Job experience enables the officer to recognize the examples

learned during their institutional training which reinforces the lessons with their own

experience. Job experience improves on the leadership attributes and competencies the

officers have developed and learned during their schooling and enables the officers to

react and recognize potential leadership problems before the problems become

unmanageable. In reference to the second pillar of Army leader development, Burns

stated:

> Real leaders – leaders who teach and are taught by their followers – acquire many
> of their skills in everyday experience, in on-the-job training, in dealing with other
> leaders and with followers. [27]

 Job experience also provides the tactical and technical side of training, which is

also important to leader development. The officers must know their jobs well if they are

to gain respect from their peers and followers. The tactical and technical lessons learned

at the institution or during an officer's operational assignment ensure the officers can

communicate effectively and confidently. The third pillar of Army leader development is

self-development.

 Self-development is the way officers can broaden their personal leader

development knowledge, skills, and actions. Reading articles and books of leadership

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[27] Burns, Pg. 169

lessons learned, historic battles, and civilian business techniques are ways to stimulate an officer's leadership skills by seeing different situations and different point of views. History offers a wealth of information and analysis on the personalities of great military officers, which are still applicable today. The self-development process is only achievable if the officer is motivated to continue his learning or he is encouraged by seniors or peers. One way of ensuring a successful leader self-development program is working is by the junior officers finding someone to coach or mentor them. Mentoring helps focus the officers on books or articles that pertain to their profession, assists in choosing and shaping the junior officers' career goals, and provides guidance and feedback in a non-threatening manner.

The pipeline for developing Army officers starts with the Basic Officer Leaders Course (BOLC). The Basic Officer Leaders Course is a three part training course designed to produce commissioned Army officers for the U.S. Army. The first phase, BOLC I, is completed during the pre-commissioning phase at ROTC, OCS, or at the United States Military Academy (USMA). Upon completion of BOLC I all cadets receive a commission into the U.S. Army. The officer decides which career path, or branch of expertise (i.e. Infantry, Armor, and Military Intelligence); they want to pursue. The second phase, BOLC II, is a seven week course that teaches small unit tactical training and creates a common bond between the different Army officers in different Army branches.

> The basic goal of BOLC II is to teach leadership in a combat-simulated environment. It is also designed to reinforce the skills of followership, and that of

building mental and physical toughness to lead soldiers under stressful environments.[28]

The third phase of BOLC III is called the Officer Basic Course (OBC). During this course the officers are separated into branch specific groups and they receive training on their specific specialty. The officers learn the basic skills of their jobs and are able to function within their specific branch. Following BOLC III each Army officer transfers to their first job assignment.

At about the five-year mark, all officers are enrolled in the Captain's Career Common Core Course (C5), an online web-based course, prior to attending their branch specific Captain's Career Course (CCC). The C5 provides a series of critical skills grounded in leadership, communication, risk management, critical reasoning/thinking, and developing a positive command climate.[29] After graduating C5 the officers move to their next job assignment.

<div align="center">Navy Leader Development</div>

In January 2006, the Navy implemented the Navy Leadership Development Continuum program by revising antiquated leadership courses, adding new courses to cover all levels of leadership in order to assist both officers and enlisted personnel. The Navy's leadership development continuum, designed by the Center for Naval Leadership (CNL), consists of sequential and progressive leadership development programs (LDP) addressing each level of leadership, based on job analysis and naval leadership

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[28] Wikipedia.Org, "Basic Officer Leadership Course", Wikipedia the free encyclopedia, http://en.wikipedia.org/wiki/Basic_Officer_Leaders_Course, (Accessed March 08, 2008.)

[29] Army News Service, "Common Core Course to be Requirement for Captains' Career Courses." US Army, http://www.army.mil/-news/2007/03/19/2312-common-core-course-to-be-requirement-for-captains-career-courses/, (Accessed March 08, 2008.)

performance requirements.[30] The new courses include current fleet leadership issues and use the personal experiences of students to enhance the learning objectives.

In 2008, the developmental courses of Navy midshipmen remained the same as in 1995. However, one main difference in 2008 is the Surface Warfare Officers are on board their ships for roughly one year immediately following their commission into the Navy, rather than attending school. During this first year, the officer learns leadership through personal experiences at sea and through the computerized *SWOS in a box* training material from the Division Officer School. SWOS in a box consists of a few lessons on leadership, but just like naval officer training prior to 1995, most of the training comes from personal experiences and Commanding Officer leadership training programs while on their ship at sea. Figure 5 shows the SWOS located on one campus.

Figure 5.   Surface Warfare Officer School and Naval War College, Newport RI.
Source: Created by Author, Information from: https://wwwcfs.cnet.navy.mil/swos/
restricted/Doc/Briefs/SWO%20Best%20Practices%20Brief.ppt, (Accessed April 10, 2008.)

Qualifying as a SWO is a multi-stage process that encompasses all departments on a naval warship. To qualify as a SWO, the naval officer must complete qualifications on key watch stations on a ship, as well as the basic qualifications on all functional areas involved on a warship. The Navy uses the personal qualification system to ensure the trainee is learning all pertinent facts and operations to qualify as a SWO.

> PQS is a method of qualifying officers and enlisted personnel for performing assigned duties, including watches. The duties are the everyday administrative ones expected of a rated person and the military ones required at drill, battle, and watch stations.[31]

When new officers report to the ship, one of the first people they meet is the ship's training officer. The training officer is typically a fellow junior officer with roughly two years of naval service and is qualified as a SWO. The new officer receives several PQS booklets in surface warfare such as: damage control, preventative maintenance system, deck watches, quality assurance, safety, and force protection.

Following the first year onboard a ship, the junior officer attends SWOS – Division Officer School in Newport, RI where he receives additional practical hands-on training. After three years of sea duty, the officer has the option to assume a shore billet or move directly into a Department Head billet. After these three years in the Navy, the officers now have the option to move on and become an officer in charge of a department.

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[31] Mack, Pg. 176

There are many options available for officers once they complete their first two tours at sea. The officer can choose to attend Naval Postgraduate School, located in Monterey California to earn a masters degree, be assigned to the USNA as a company officer, be assigned to an ROTC unit as an instructor, or even return to sea for a third division officer tour. Secretary of the Navy William B. Franke has this belief, "The business of those naval persons ashore is to build ships and aircraft and to repair and supply them. If it is done well, the Navy will fight well."[32] To other naval officers, shore duty is a restful period between sea tours during which an officer can sample some of the Navy's other important programs and interesting job specialties.[33]

Naval Leadership Competencies

Leading Change
- Creativity & Innovation
- External Awareness
- Flexibility
- Service Motivation
- Strategic Thinking
- Vision

Resource Stewardship
- Financial Management
- Leveraging Technology
- Human Resource Management

Accomplishing Mission
- Responsibility, Authority & Accountability
- Decisiveness/Risk Management
- Continuous Improvement
- Problem Solving
- Technical Credibility

Leading People
- Developing People
- Conflict Management
- Leveraging Diversity
- Professionalism
- Team Building
- Combat/Crisis Leadership

Working with People
- Influencing/Negotiating
- Oral Communication
- Partnering
- Political Awareness
- Written Communication

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[32] Mack, Pg. 396
[33] Ibid.

Figure 6.　United States Naval Leadership Competency Model, 2008.
Source: https://wwwa.nko.navy.mil/gear/library/download?document_id=1010800002,
(Accessed April 17, 2008.)

Following their shore duty, the officers attend SWOS – Department Head School

and receive a limited amount of leadership training. The Center for Naval Leadership

(CNL) approved the SWOS – DH leadership course, Intermediate Officer Leadership

Curriculum (IOLC) as the medium to improve mid-grade officer competency in

leadership. IOLC is based off of the CNL's Naval Leadership Competency Model, see

Figure 6.

The Navy Leadership Continuum core competencies are:

Leading People. The ability to design and implement strategies that maximize
personnel potential and foster high ethical standards in meeting the Navy's vision,
mission and goals. Sub-competencies include Developing People, Conflict
Management, Leveraging Diversity, Professionalism, Team Building, and
Combat/Crisis Leadership.

Working with People. Involves the ability to explain, advocate, and express facts
and ideas in a convincing manner, and negotiate with individuals and groups
internally and externally. Sub-competencies include Influencing and Negotiating,
Oral Communication, Partnering, Political Awareness, and Written
Communication.

Resource Stewardship. Involves the ability to acquire and administer human,
financial, material, and information resources in a manner that instills public trust
and accomplishes the Navy's mission; and to use new technology to enhance
decision-making. Sub-competencies include Financial Management, Leveraging
Technology, and Human Resource Management.

Leading Change. Encompasses the ability to develop and implement an
organizational vision that integrates key naval national and program goals,
priorities, values, and other factors. Inherent to it is the ability to balance change
and continuity to create a work environment that encourages creative thinking and
innovation. Subcompetencies include Creativity & Innovation, External
Awareness, Flexibility, Service Motivation, Strategic Thinking, and Vision.

Accomplishing the Mission. Stresses Accountability and Continuous
Improvement. It includes the ability to make timely and effective decisions, and

produce results through strategic planning and the implementation and evaluation of programs and policies. Sub-competencies include Responsibility, Authority, and Accountability, Decisiveness/Risk Management, Continuous Improvement, Problem Solving, and Technical Credibility.[34]

IOLC is conducted at the beginning of SWOS-DH school for 4.5 days and consists of nine 4 hour lessons. Following SWOS-DH school, the officers move back into the fleet as a department head.

Life Experience and Culture

Webster's dictionary defines experience as "practical knowledge, skill, or practice derived from direct observation of or participation in events or in a particular activity."[35] Life experience is experience that is developed throughout the person's life from birth to the present day. Life experience adds to how a person develops. Reviewing Navy examples and how the SWO was developed through history, it is helpful to review the work of Mr. Christopher McKee, author of *A Gentlemanly and Honorable Profession*, who collected data on the average age of a midshipman between the years 1800 to 1814 and study the appointment age of midshipman.

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[34] Center for Naval Leadership, "Leadership Development Resource Guide" Navy Knowledge Online, https://wwwa.nko.navy.mil/gear/library/download?document_id=1120000006, (Accessed April 10, 2008.)
[35] Mish, Pg. 437
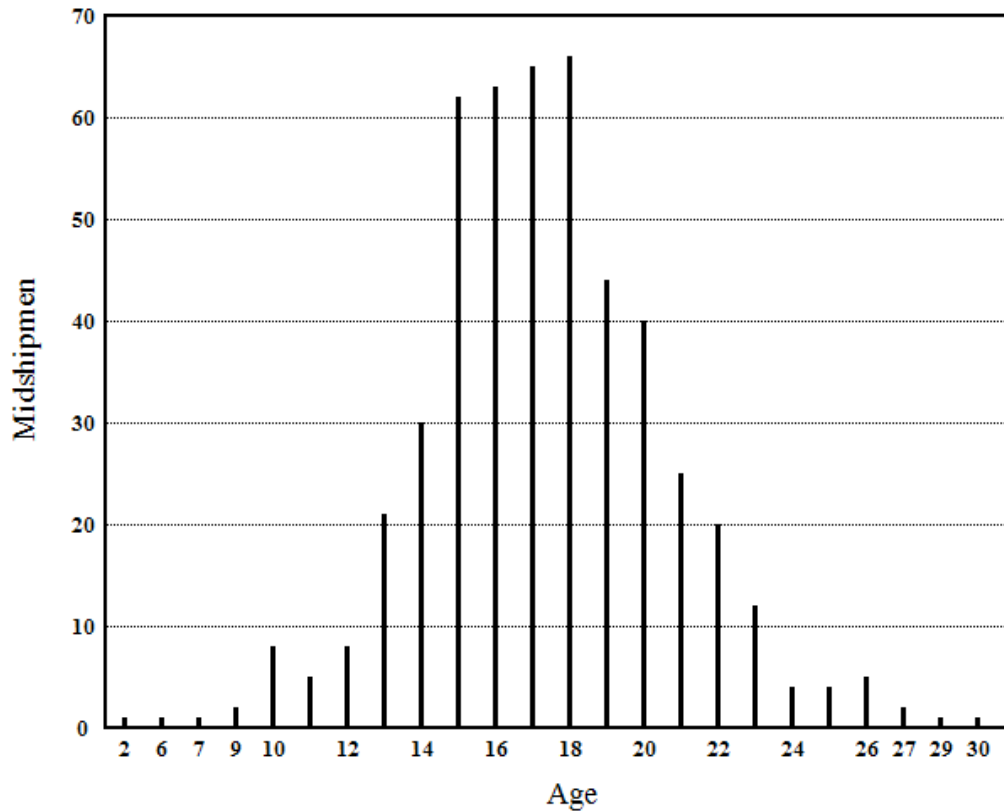
Figure 7.   Number of Midshipmen of Known Ages Appointed in 1800, 1804-1805, 1809, 1812, and 1814

Source: Created by author, information from *A Gentlemanly and Honorable Profession,* p. 69

In the 1800s, the age of the midshipman averaged below 18 years of age. From this information one can presume that naval training, to include leadership training, started at an age much earlier than today's standards. Admiral Farragut was 10 years old and a midshipman onboard the USS Essex. He was involved in many engagements against the British Navy that contributed significantly to his life experience.

> This critical blend of talent, character, and training that catapulted David Farragut to Civil War fame was forged over the course of five decades in the Navy. Of these years, perhaps none were most important to Farragut's development as a naval officer than those he served in Essex under the command of David Porter. Farragut entered the frigate as a midshipman in August 1811. He was only ten

years of age at the time and Essex was his first seagoing berth. The frigate would serve as Farragut's schoolhouse and within its wooden walls he began his naval education, steadily acquiring the knowledge and skills necessary to command men and ships. While textbooks had a place in young David's shipboard instruction, he learned his most valuable lessons through hands-on experience.[36]

The start of the midshipmen's military life began at the age of 2 years to 30 years. The early development of midshipmen prior to their attendance at the USNA, below the age of 18 years old, could explain the difference in why come naval officers had a better foundation of a military experience than others. "The technology of learning is the process of managing learner experience to optimize the probability that the experience will result in the behavior desired of the trainee."[37] It is important to understand the benefits a learning institution, job assignment, and self-development affects one's ability to excel in a job or task.

The Army dictates that leader development occurs in *institutions*, with *job experience*, and through *self-development*. The Navy does not describe leader development like the Army. However, the naval process of leader development is very similar in action or behavior. Patrick L. Townsend and Joan E. Gebhardt indicated there are two formal and two informal categories of learning experience.

> To ensure a continuous supply of leaders, leadership training is an ongoing part of the military experience. Training falls into four categories, two formal, two informal. Leadership courses and evaluations, the two formal approaches, are systematically employed. Informally, personnel receive mentoring and are expected to learn from their experiences.[38]

Institutional training, or the classroom style of learning experience, is done at a period in the officer's career when the individual is not assigned to other duties that may

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[36] Brodine, Pg. 13
[37] Yoder, Pg. 5-22
[38] Townsend, Pg. 33

detract from the full learning experience. But, like a typical civilian business, it costs money to send a military officer to a school. Sending an employee to school may cause a gap in the workplace and may require the hiring of temporary employees, resulting in someone receiving more work, or may result in a loss in productivity. There could be the misconception that classroom training is not desirable due to those reasons previously mentioned. Dale Yoder and Herbert G. Heneman Jr. referenced the importance of the learning experience in the workspace, "Structured classroom programs are but one segment of the overall training function; but, unfortunately, many persons in business organizations tend to limit training almost entirely to the classroom type of learning experience."[39]

The Army Command and General Staff College (CGSC) described their institution as an organized facility where the students can learn and reflect on what they have learned in the past and on current lessons.[40]

> The institution employs the most appropriate techniques and methods in an academic setting conducive to the most advanced understanding of the demands that will be made of those who pass through its courses of instruction. This includes methodologies that are learning-centered, experiential, and effective. We enhance the competence of our students through a learning-centered educational methodology.[41]

The Army Command and General Staff College provides the time and classes to help the student reflect. Stephen S. Kaagan described how reflection is important to learning, "Through a doing and reflecting sequence, the learner wrestles with the dynamics of

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[39] Yoder, Pg. 5-36
[40] US Army Combined Arms Center and Fort Leavenworth Public Home Page. "About the Command and General Staff College." US Army, http://usacac.army.mil/cac2/cgsc/principles.asp, (Accessed November 18, 2008.)
[41] Ibid.

change and development in the context of recent behavior and interactions with colleagues."[42] Life experience also includes On-The-Job Training (OJT).

The military puts a lot of effort in giving the officer and senior leaders a broad range of assignments to increase their experience in all areas of their profession. OJT is the primary medium to train a person in their assignment. The ASPA Handbook of Personnel and Industrial Relation concludes that OJT is training that is done by experienced performers in their field and show the trainee a model to follow for perfection at their job.[43] Learning only through life experience also has dangers.

Some of the dangers include the fact that the trainees are limited in how proficient the trainers are at performing their tasks correctly. The ASPA Handbook discusses the inherent risk of choosing who the trainers are, "The model performer, however, often has performance flaws, which are passed on to the learner."[44] Life experience requires learner understanding on what results and second and third order effects their actions may cause. The learners should recognize or get feedback on how the results of their actions contribute to their personal experience and learning. Peter Senge described a learning horizon as an area or level where one cannot see the consequences of actions and therefore cannot learn from the experience.

> We each have a 'learning horizon,' a breadth of vision in time and space within which we assess our effectiveness. When our actions have consequences beyond our learning horizon, it becomes impossible to learn from direct experience.[45]

These two dangers may be the reason why the military uses 360 feedback and why they use academic institutions to ensure the correct lessons are taught.

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[42] Kaagan, Pg. xv
[43] Yoder and Heneman, Pg. 5-36
[44] Ibid.
[45] Senge, Pg. 23

CHAPTER 3

RESEARCH METHODOLOGY

Background Information

The surface warfare community prides itself on having the most capable, best

trained, and most proficient leaders at the DH level. The purpose of this research is to

determine whether Surface Warfare Officer School (SWOS) offers the instruction and

leadership training required to meet 21st century DH requirements. This chapter explains

the methodology used to determine if the Department Head Leadership Course (DHLC)

sufficiently enhances the naval officer's leader development. Chapter 2 provided the

framework to understand all sides of leader development within institutions, job

experiences, and self-development. The information in chapter 2 was organized to set the

framework for the following chapters.

The first phase of the research examined the differences in the officer mid-grade

level leadership courses and the desired competencies between the Army and Navy

officers. The comparison of both services' training programs identified commonalities

and differences that are typical for leader development. These officer training program

differences between the Army and the Navy highlighted the different service cultures and

strategies for developing 21st century leaders.

For the second part of the methodology, the researcher conducted an online

survey and collected background information from both Army and Navy officer

participants who were prepared as leaders during their mid-grade assignments.

Additionally, the Center for Naval Leadership collected survey information about the

SWOS Department Head Course from department heads, executive officers, and commanding officers that was also analyzed for recurring trends in chapter 4.

Army and Navy Comparisons

The Army's Captains Career Course (CCC) TRADOC Common Core (TCC) ADL Phase curriculum and the Navy's Intermediate Officer Leadership Curriculum (IOLC) were the references used to compare the amount of time dedicated to leadership during the officers' institutional training.

The Army's CCC TCC ADL Phase is the first of three courses used to prepare a Captain for the next assignment. The course is offered as a computer based training (CBT) to educate all officers, regardless of branch specialty, and must be completed prior to attending a specialty branch institution. The CBT course offers training in leadership, management, and other administrative skill sets.

> The CCC TCC ADL Phase will provide CCC students with the education and training in the essential core skills in the Knowledge and Comprehension Learning Levels outside the traditional classroom where direct instructor and student interaction is not necessary to achieve task and course requirements.[46]

The researcher separated the Army leadership material from the management and administrative material. Topics that dealt with interpersonal relationships, communication, and ethics were chosen as leadership referenced topics and were analyzed in the study.

The Navy's IOLC was developed by SWOS. Course topics with lesson time lengths were annotated in an email sent by the SWOS Deputy of Maritime Warfare.

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[46] Captain's Career Course TRADOC Core Curriculum ADL Phase, April 27, 2005

Since the purpose of the IOLC course is leader development, all of the lessons were applicable during the comparison analysis.

<div align="center">Survey</div>

An online survey was distributed on September 29, 2008 to 45 participants. The surveyed participants consisted of two distinct population groups. The two population groups were (18) Army officer students from the 2008-02 and 2009-01 Army Command and General Staff School (CGSS) class and the (9) Navy officer students from the 2008-02 and 2009-01 CGSS class. The Army population group consisted of Army officers who had completed the Officer Advanced Course (OAC) or the CCC. The Navy population group were all qualified as surface warfare officers (SWO), had attended SWOS-DH, and had completed two department head tours. Demographical data consisting of age and commissioning source was obtained. Questions were asked to assess any potential leadership road blocks the officers may have encountered during their officer's mid-grade tour.

The survey was organized into two sections. The first section of the survey collected information on how the participant developed as a leader. The second section of the survey collected information on how the participants believed they were prepared to fill the leadership role during their mid-grade level assignment. The questions were based on the Navy Leadership Continuum core competencies. The Navy Leadership Continuum core competencies are:

> **Leading People.** The ability to design and implement strategies that maximize personnel potential and foster high ethical standards in meeting the Navy's vision, mission and goals. Sub-competencies include Developing People, Conflict Management, Leveraging Diversity, Professionalism, Team Building, and Combat/Crisis Leadership.

Working with People. Involves the ability to explain, advocate, and express facts and ideas in a convincing manner, and negotiate with individuals and groups internally and externally. Sub-competencies include Influencing and Negotiating, Oral Communication, Partnering, Political Awareness, and Written Communication.

Resource Stewardship. Involves the ability to acquire and administer human, financial, material, and information resources in a manner that instills public trust and accomplishes the Navy's mission; and to use new technology to enhance decision-making. Sub-competencies include Financial Management, Leveraging Technology, and Human Resource Management.

Leading Change. Encompasses the ability to develop and implement an organizational vision that integrates key naval national and program goals, priorities, values, and other factors. Inherent to it is the ability to balance change and continuity to create a work environment that encourages creative thinking and innovation. Subcompetencies include Creativity & Innovation, External Awareness, Flexibility, Service Motivation, Strategic Thinking, and Vision.

Accomplishing the Mission. Stresses Accountability and Continuous Improvement. It includes the ability to make timely and effective decisions, and produce results through strategic planning and the implementation and evaluation of programs and policies. Sub-competencies include Responsibility, Authority, and Accountability, Decisiveness/Risk Management, Continuous Improvement, Problem Solving, and Technical Credibility.[47]

These definitions were included in the survey to assist and inform the participants of what the five Navy core competencies are. Two separate but equivalent surveys were distributed in order to translate the differences between the two military services promotion and assignment paths. The Likert scale was used for the five core competency questions for both surveys. The Likert scale used the following verbiage as answers starting from lowest to highest: (1 = Very Poor, 2 = Poor, 3 = Average, 4 = Good, 5 = Very Good).

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[47] Center for Naval Leadership, "Leadership Development Resource Guide" Navy Knowledge Online, https://wwwa.nko.navy.mil/gear/library/download?document_id=1120000006, (Accessed April 10, 2008.)

Navy Population Group

Demographics:

1. *Age* – Assessed the level of maturity and year of department head tours.

2. *Commissioning Source* – Assessed how much the commissioning source affected the officer's development. For example, United States Naval Academy vs. NROTC; or NROTC vs. Prior Enlisted.

3. *Division Officer Assignments* – Assessed how much time was spent in each functional area of the ship. For example, Operations, Combat Systems, or Engineering.

4. *Shore Assignments* – Assessed if the officer attended a service school for professional development. For example, Naval Post Graduate School, Masters Degree Program, or another Division Officer Tour.

5. *Department Head Assignments* – Assessed how much time was spent in each functional area of the ship. For example, Operations, Combat Systems, or Engineering.

Questions:

1. How prepared were you in *Leading People* during your department head tours? (Likert Scale 1/2/3/4/5)

2. How prepared were you in *Working with People* during your department head tours? (Likert Scale 1/2/3/4/5)

3. How prepared were you in *Resource Stewardship* during your department head tours? (Likert Scale 1/2/3/4/5)

4. How prepared were you in *Leading Change* during your department head

tours? (Likert Scale 1/2/3/4/5)

5. How prepared were you in *Accomplishing the Mission* during your department

head tours? (Likert Scale 1/2/3/4/5)

6. Department Head Leadership Course (DHLC) is scheduled as the first subject

in SWOS – DH School. Should the DHLC be scheduled: (As is - In the

beginning / Spread throughout the tenure of the DH Course / At the end / Not at

all / Other___.)

7. During SWOS DH School, the officer is assigned to a wardroom for scenario

exercises. Can the officer benefit from a wardroom scenario that assesses the

DHLC learning objectives? (Y/N)

8. Should the Navy implement a Leadership Development Course that is

Computer Based Training (CBT) and takes place between the officers' division

officer tour and department head tour? (Y/N)

Army Population Group

Demographics:

1. *Age*: (_____) Years old.

2. *Commissioning Source*: (Select one)

( ) USMA   ( ) ROTC   ( ) OCS   ( ) Other (_____)

3. *Assignment before OAC/CCC*: (Click all that apply)

( ) XO

( ) Primary BN Staff

( ) Assistant BN Staff

( ) Assistant BDE Staff

4. *Additional Leadership Schools*: (Click all that apply)

( ) Ranger ( ) SCT PLT LDR Course

( ) Sapper ( ) Bradley LDR Course

( ) Pathfinder ( ) Other (_____)

5. *Did you earn a masters degree before your assignment to OAC/CCC*: (Select one)

( ) YES ( ) NO

6. *Post OAC/CCC Assignments*: (Click all that apply)

( ) BN Staff ( ) LINE CO Co

( ) BDE Staff ( ) SPT – HSC/HHT/HHC (1st CMD)

( ) DIV Staff ( ) SPT – HSC/HHT/HHC (2nd CMD)

( ) CORPS Staff ( ) Other (_____)

Questions:

1. How prepared were you in *Leading People* during your department head tours? (Likert Scale 1/2/3/4/5)

2. How prepared were you in *Working with People* during your department head tours? (Likert Scale 1/2/3/4/5)

3. How prepared were you in *Resource Stewardship* during your department head tours? (Likert Scale 1/2/3/4/5)

4. How prepared were you in *Leading Change* during your department head tours? (Likert Scale 1/2/3/4/5)

5. How prepared were you in *Accomplishing the Mission* during your department head tours? (Likert Scale 1/2/3/4/5)

6. Captain's Career Course (CCC) Phase 1 is a CBT course and is scheduled prior to attending the Branch specific CCC. In your opinion, should phase 1 be scheduled: (As is - In the beginning / Spread throughout the tenure of the CCC / At the end / Not at all / Other____)

7. While attending your branch specific CCC, can the officer benefit from a group scenario that assesses the CCC Phase 1 learning objectives? (Y/N/Explain____)

8. Should the Navy implement a Leadership Development Course that is Computer Based Training (CBT) and takes place between the officers' division officer tour and department head tour? (Y/N/Explain_____)

Summary

In conclusion, the data obtained from the course comparisons and the surveys assisted the researcher in answering the primary and secondary questions. The information collected is analyzed and discussed in chapters 4 and 5 to help answer the primary and secondary questions: How is SWOS leadership training effective? How does earlier training or continuous training for leadership and management increase the naval officer's ability to effectively use or increase life experiences? This chapter has drawn the framework with which the study was orchestrated in order understand the data collection efforts. Chapter 4 analyzes the results of the surveys and interprets the information.

CHAPTER 4

FINDINGS AND ANALYSIS

The surface warfare community prides itself on having the most capable, best trained, and most proficient leaders at the department head (DH) level. This assumption stems from an age when the "Head of Department" was a seasoned, matriculated, and more senior officer, both chronologically and by years of service. Today's DH normally has four to five years of naval officer experience, is still in his twenties, likely has only three years of experience at sea, and possesses few of the core competencies required of the position.[48] A question U.S. naval officers may ask themselves is: How are naval surface warfare officers developed and trained to meet the 21st century Department Head (DH) requirements?

This chapter analyzes the U.S. naval officer leader development during their institutional training while attending Surface Warfare Officer School, a specialized school for department heads. The researcher collected background information of naval surface warfare officers and compared their military cultural environment with the answers given in the survey.

Surface warfare officer department head leader development is the thesis topic under examination. The primary, secondary, and tertiary research questions are analyzed in this chapter.

This chapter analyzes the answers of tertiary questions first and then the secondary questions, leading to the explanation of the primary research question.

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[48] LT Susan Henson, USN. "Surface Warfare Officers to Benefit from Training Alignment", Navy.Mil, http://www.navy.mil/search/display.asp?story_id=21913, (Accessed December 02, 2008.)

<center>Tertiary Questions</center>

#1 -- How much training is dedicated on leadership and management training for naval officers during SWOS?

A prospective DH attends the SWOS DH Course in Newport, RI. The course is organized into four parts: Intermediate Officer Leadership Course (IOLC), Core Curriculum, Specialty Curriculum, and Shipboard Readiness Training Curriculum (SRTC). IOLC and SRTC contain leadership and management training for prospective DH's. The Specialty Curriculum contains an interactive setting with prospective Executive Officers (XO) and Commanding Officers (CO). The SWOS – DH course intent prepares:

> Mid-grade Surface Warfare Officers to confidently and competently execute department head level duties in surface ships. Training uses fleet-oriented material and operational programs to provide background instruction in basic combat systems and engineering theory. Employing a "theory-to-practice" approach, the training addresses shipboard equipment in a systems fashion, stressing equipment interaction and interdependence.[49]

SWOS is the administrator for the DH Leadership Curriculum (DHLC) and facilitates the course for the Center of Naval Leadership (CNL) at SWOS. CNL has made strides since the turn of the century by increasing leader development in the Navy for officers and enlisted personnel.

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[49] Department Head Training Department Homepage, "Maritime Warfighting." Center for Naval Education and Training. https://wwwcfs.cnet.navy.mil/swos/restricted/DH/dh.cfm, (Accessed December 02, 2008.)

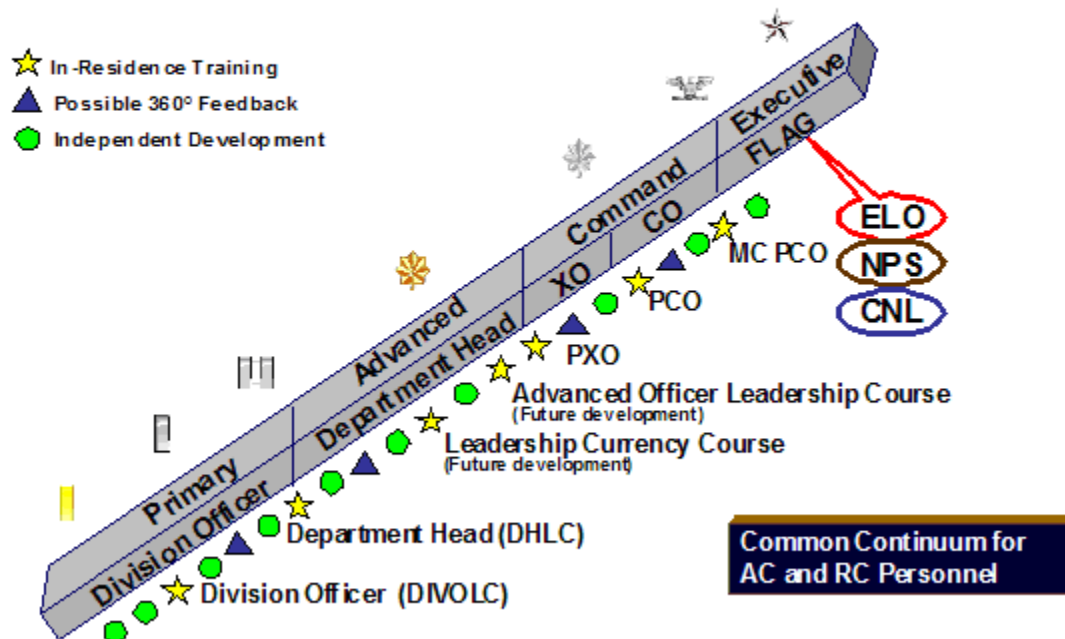**Officer Leadership Development Continuum**

Figure 8.   Officer Leadership Development Continuum
Source: https://www.netc.navy.mil/leadcon_2.html (Accessed March 15, 2008.)

The DHLC was developed by SWOS to reinforce the five competencies required for leaders in the Navy. The five competencies are: accomplishing the mission, leading people, leading change, working with people, and resource stewardship. CNL approved DHLC as the primary leadership curriculum for mid-grade naval officers and renamed it IOLC.

IOLC is administered at SWOS for prospective department heads during the first week of school attendance. A total of 36 hours are allotted for the 9 lesson course which covers the first week of department head training. The introductory class is conducted in the beginning of IOLC to explain the 5 competencies and the objectives for the course.

The SWOS-DH curriculum covers 36 hours in leadership and 195 hours in management.[50] The course is divided into 9 learning blocks and the course content is described as follows:

Learning Block 1, *How is the Job Different*, takes 4 hours to complete. The lesson contains videos and instruction that cover the responsibilities of the department head and the organization of the ship. This first lesson also used the Keirsey-Bates Temperament Sorter and other lessons on understanding an officer's personal strengths and weaknesses to assist the officer in their self-awareness.[51]

Learning Block 2, *How Soon we Forget*, takes 4 hours to complete. The lesson contains videos and instruction that covers communication up and down the chain of command. The lesson also stresses the importance of feedback and balancing the mission and people.[52]

Learning Block 3, *Dealing with People*, takes four hours to complete. The lesson review provides examples of high performing commands and discusses the psychological aspects involved in motivating people. The lesson also includes a role-play practical exercise in counseling and coaching.[53]

Learning Block 4, *Collaboration with Competition*, takes four hours to complete. The lesson has instruction on competitive and collaborative environments as well as negotiation training. The Navy's 11 leadership principles are also reviewed.

[50] Department Head Training Department SRT, "Shipboard Readiness & Training." Center for Naval Education and Training. https://wwwcfs.cnet.navy.mil/swos/restricted/DH/Curriculum/dhsrt.cfm, (Accessed October 28, 2008.)
[51] Neil VanderVeen, "*Department Head Leadership Curriculum Student Guide.*" Center for Naval Leadership, Course Number P-7C-0101. https://wwwa.nko.navy.mil/gear/library/download?document_id=1795900006, (Accessed May 26, 2008.)
[52] Ibid.
[53] Ibid.

Learning Block 5, *Command Climate*, takes four hours to complete. The lesson reviews more examples of command climate and policies. The instruction concentrates on reporting to the command and initial assessments.

Learning Block 6, *Expectations of Me as a DH*, takes four hours to complete. The lesson reviews what the expectations are for new department heads.

Learning Block 7, *Setting Direction and Alignment*, takes four hours to complete. The lesson instructs the officers on the importance of the command vision in relation to the ships mission. It teaches the officers about goals, standards, rewards, consequences, and creating their own personal vision.

Learning Block 8, *Systems and Process*, takes four hours to complete. The lesson reviews how changes are implemented, the human response to change, and how systems or processes are affected by change.

Learning Block 9, *Plan a Major Activity*, takes four hours to complete. The lesson describes common activities on board a warship and how to organize activities. The lesson reviews a plan of action and milestones (POA&M), explains how to estimate time, understand risk assessment, and how to adjust plans to keep activities on track.

All of the learning blocks rely on the students' interaction and participation with the instructor to discuss personal lessons learned during their previous assignments. This interaction reinforces the lessons learned and shares experiences with the rest of the SWOS students. The officers do not receive any additional leadership training until 12 weeks later when they start the Shipboard Readiness and Training Curriculum (SRT).

The Shipboard Readiness and Training curriculum encompasses lessons on the Navy supply system, material management, shipboard safety, hazardous material,

shipboard training teams, personal qualification system (PQS), and other shipboard management programs. The lessons in the SRT comprise 90 hours of instruction. The following are the key programs reviewed; Supply and Material Management, Afloat Safety Officer Training, Hazardous Material (HAZMAT) Coordinator Training, Shipboard Training Teams, Personal Qualification System (PQS), and other afloat management programs.

The prospective department heads receive most of their management training during this phase, but they also participate in wardroom sessions with prospective executive officers and commanding officers. The purpose of the wardroom session is to impose problems the officers may see when aboard ship as a department head. For example, problems can range from training the crew for an Anti-terrorism Force Protection Certification, or how to maintain naval warfare skills while the ship is in a dry dock for a major overhaul. The prospective officers interact with each other as they would on a real ship in order to accomplish the commanding officer's mission.

#2 -- In contrast – How much training is dedicated to leadership and management training for Army Officers during CCC?

The Army uses the Captain Career Course (CCC), a TRADOC Common Core (TCC) ADL Phase, to provide the officer with basic skills required for their next assignment. The CCC TCC ADL Phase is a computer based training course that is taken online through the internet. The CCC TCC ADL Phase is also known as the Captain's Career Common Core Course (C5). The C5 is intended to better prepare Army officers for their next ten years of service by providing self-paced instruction on operations and

leadership.[54] The C5 has a total of 20 lessons, with an estimated total of 75.6 hours required for completion. The researcher separated lessons involving interpersonal relationships, communication, and ethics into a leadership category. The remaining lessons were excluded from the research because they do not pertain to the thesis topic. The C5 leadership lessons are:

Perform Tasks in a Civilian/Military Workgroup (Task Number 152-100-0002), and takes (3.9) hours to complete.

Supervise Unit Personnel and Administration Functions (Task Number 121-010-8020), and takes (6.3) hours to complete.

Implement the Army Family Team Building Program (Task Number 121-040-8025), and takes (1.9) hours to complete.

Apply the ethical decision making process as a Commander, leader or staff member (Task Number 158-100-1331), and takes (3.2) hours to complete.

Communicate Effectively as a Unit or Staff Leader (Task Number 158-100-1340), and takes (1.6) hours to complete.

Develop a Unit Counseling Program (Task Number 158-100-1361), and takes (4.5) hours to complete.

Foster Positive Command Climate (Task Number 158-100-1332), and takes (4.7) hours to complete.

Implement Measures to Reduce Operational Stress (Task Number 158-100-1385), and takes (3) hours to complete.

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[54] Army News Service, "Common Core Course to be Requirement for Captains' Career Courses." US Army, http://www.army.mil/-news/2007/03/19/2312-common-core-course-to-be-requirement-for-captains-career-courses/, (Accessed March 08, 2008.)

Supervise the Implementation of the Risk Management Process at Company Level

(Task Number 154-385-6667), and takes (2.3) hours to complete.[55]

The researcher calculated (31.4) hours of leadership training is given to the mid-grade Army officer at C5.

#3 -- Is there a common trait between the Navy and Army officers when comparing the results of their leadership curriculum training?

There are a few similarities, but there are many differences with regard to the course time requirements, and learning methods. The Army conducts 31.4 hours on leadership lessons and the Navy conducts 36 hours on leadership lessons. The difference of 4.6 hours in leadership instruction is not substantial, however, when the leadership course is conducted and the duration of the course is different and needs explanation.

The Army student typically takes C5 prior to their branch specific CCC, and they have the option to take the CBT course online during their CCC. Therefore, the Army students have more time to complete C5. The Navy student is required to take the class prior to the start of the SWOS-DH core curriculum. The entire IOLC course is taken in the first week of attendance at SWOS-DH, with no other duty requirements. An Army student can have the advantage of pacing the C5 course to enhance their level of understanding. The C5 can also be a disadvantage if the Army officers take the C5 class while fulfilling the requirements for another course or job assignment. The Navy student can have the advantage of having no other requirements other than completing the IOLC course and they can dedicate all their time to understanding the course material. A disadvantage for a Navy student is they may learn the material during that first week and

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[55] Captain's Career Course TRADOC Core Curriculum ADL Phase, April 27, 2005

they may forget the material by the time they graduate from SWO-DH school, 6 months later.

The methods the Army and Navy students use to take the courses are different. The C5 course is intended to be individual learning and the course is taken online without instructor interaction. The Navy student is in a classroom environment where there is interaction with the instructor and participation with other students. As stated earlier, IOLC lessons are organized to rely on the students' interaction and participation with the instructor and encourage discussions of personal lessons learned during their previous assignments. When comparing the Army and Navy leadership courses, the Navy's method offers more value to the student by varying the delivery means and combining self study with human interaction; thereby improving the learning while attaining the training objectives.

The leadership lesson topics for the Army and Navy leadership courses are similar. Each lesson, regardless of military service origination, is covered in one or two similar course lessons. For example, the Army's lesson on *Developing a Unit Counseling Program* is similar to the Navy's lessons on *How Soon We Forget*, and *Dealing with People*.

<u>Survey Analysis</u>

An online survey was used to obtain information of how the previous students of the Army and Navy mid-level leadership courses felt about the effectiveness of their respective military course in relation to their performance during their follow-on job assignments. Figure 9 shows the Army and Navy officer comparison on how they fared

with the Navy's core competencies. The figure uses the Likert Scale on the vertical axis and the Navy core competency nomenclature on the horizontal axis.
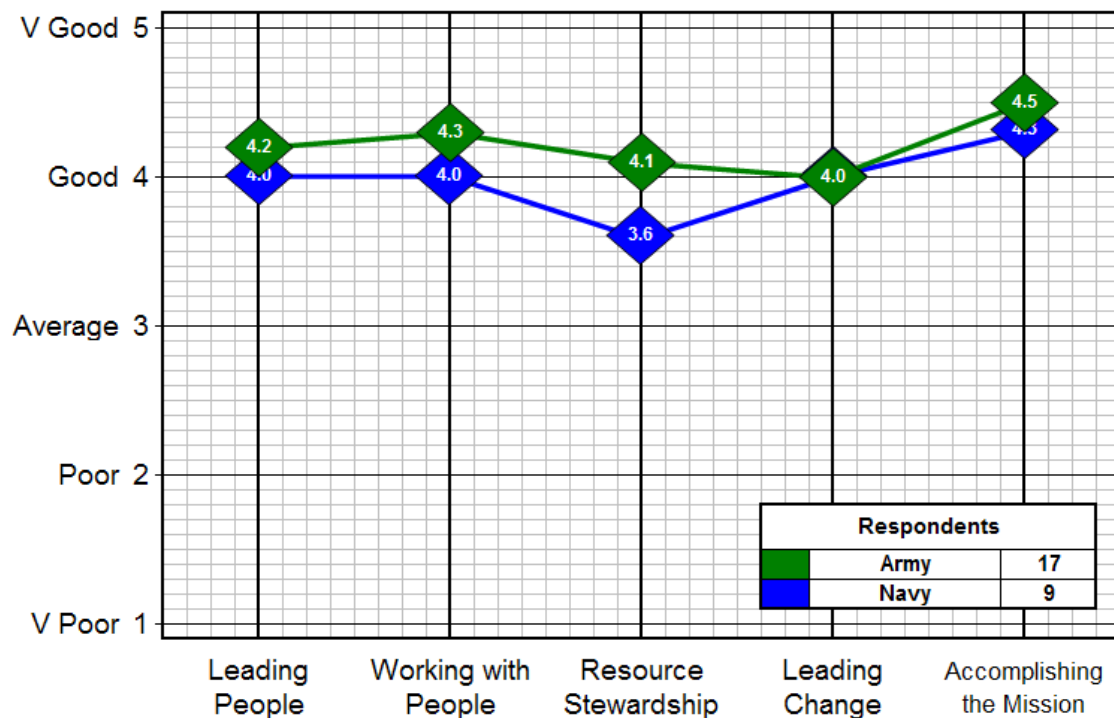

Figure 9.   Overall Army and Navy Officer Results.
Source: Created by Author, Information compiled from survey.

Figure 9 shows the Army and Navy responses to the Navy Leadership Core Competencies. The responses average in the Good range. For example, the *Resource Stewardship* competency for naval officers was relatively low when compared to Army officers. The Leadership Resource Development Guide subdivides *Resource Stewardship* into three topics; Financial Management, Leveraging Technology, and Human Resource Management. Financial management includes the use of managing finances in relation to budgets for programs and efficiency in cost-benefit problems.[56] Leveraging technology

[56] Center for Naval Leadership, "Leadership Development Resource Guide" Navy Knowledge Online,

involves understanding the impact of future technologies and how it will affect changes in the Navy. Human Resource Management includes understanding the requirements an organization may need for a work force for their different projects or programs.[57]

The average SWO does not have any experience in programs that involve managing budgets for procurement and contracting unless they have worked at a program's office in Washington, DC before attending SWOS-DH, or earned a master's degree in business or finance. SWO's do manage smaller budgets for items such as consumables, and for training that require out of area expenses. Commanding Officers and Department Heads are responsible for the ship's money, but the Supply Officer manages the budgets for the ship.[58] Following their Department Head tours, a SWO will have more opportunities to work in offices that require more expertise in financial management.

Understanding how future technologies affect naval operations is a skill that requires an advanced education that included lessons of how technology influenced the civilian and military societies. A personal interest in technology may improve an officers' ability to correlate an advanced or future technology as a solution to a problem. There is no other course offered in Leveraging Technology during a typical SWO training sequence. The Navy's Leadership Development Resource Guide lists four courses that can improve an officer's skill in Leveraging Technology.

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https://wwwa.nko.navy.mil/gear/library/download?document_id=1120000006, (Accessed April 10, 2008.)
[57] Center for Naval Leadership, "Leadership Development Resource Guide" Navy Knowledge Online, https://wwwa.nko.navy.mil/gear/library/download?document_id=1120000006, (Accessed April 10, 2008.)
[58] Sundt (Naval Science 1), Pg. 159

Figures 10 through 18 separate the findings into smaller groups to evaluate the effects of commissioning sources, a master's degree, and the impact job assignments have on the Navy's five leadership core competencies.

Figure 10 shows the comparison between Army officers who were commissioned through a service academy or college, and Army officers who were commissioned through Officer Candidate School. The differences were minimal throughout the survey. The core competency for *Leading People* had a 0.3 point variation. This variation shows that officers originating from the enlisted ranks had more life experience in leading people than the average service school or college educated officer. The officer with the OCS background had more experience in leading people during their enlistment. This self assessment could be a reflection of their confidence in leading people.

Figure 11 shows the comparison between Navy officers who were commissioned through a service academy or college, and Navy officers who received their commissioning through Officer Candidate School. There are major differences between the two groups. Of the five core competencies, *Working with People*, and *Resource Stewardship* showed major variations. The Leadership Resource Development Guide subdivides *Working with People* into five topics; Influencing/Negotiating, Partnering, Political Awareness, Oral Communications, and Written Communications.[59] An officer from a service academy or college is consistently trained by their Navy instructors, during their four years as a midshipman, in communication, negotiations, and leading drills.[60]

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[59] Center for Naval Leadership, "Leadership Development Resource Guide" Navy Knowledge Online, https://wwwa.nko.navy.mil/gear/library/download?document_id=1120000006, (Accessed April 10, 2008.)
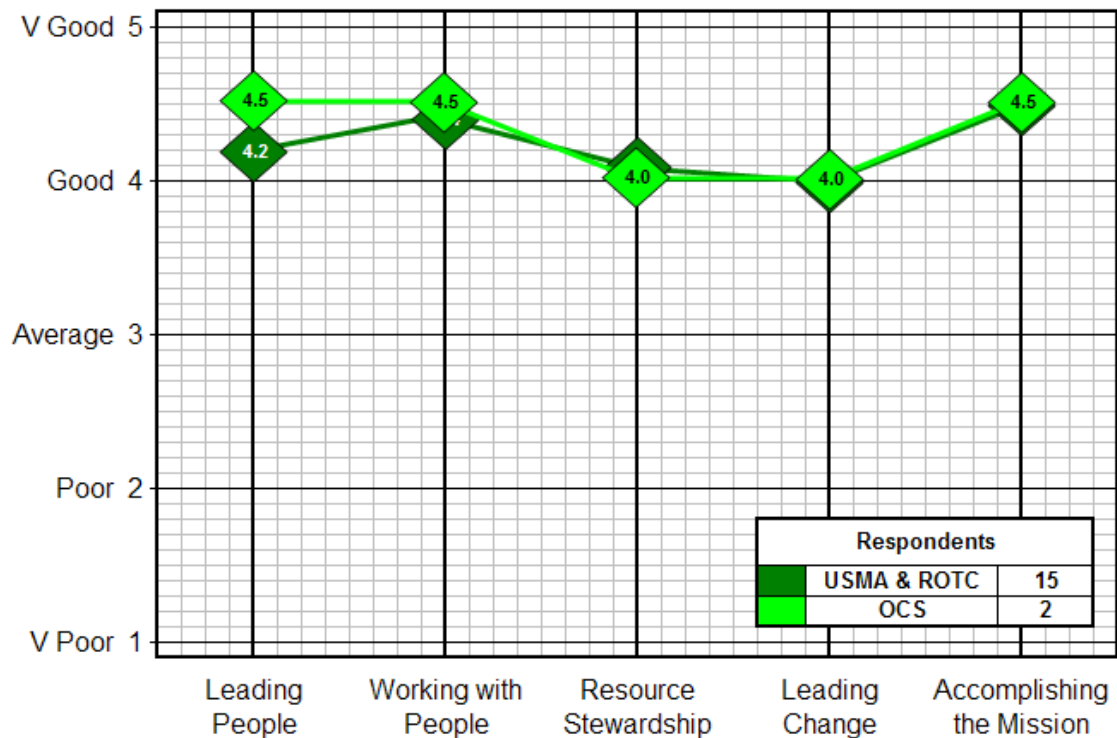[60] Sundt (Naval Science 2), Pg. 12

Figure 10.   Army Officer Commissioning Source Comparisons
Source: Created by Author, Information compiled from survey.

The constant attention by naval instructors in development of this skill set is reinforced by midshipman duties throughout the school year. Midshipmen have various duties in the military that train the prospective officers in following orders and giving orders to fellow midshipmen.[61] Midshipman and instructors are encouraged to talk about politics and how current events influence what happens within the military. This repetition builds confidence in this skill set which is reflected in Figure 11. OCS officers also have experience in being promoted up through the ranks in a command structure, just like a midshipman. Political awareness and written communications are common areas where a prior enlisted OCS officer has little or no experience. An enlisted sailor is

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[61] Mack, Pg. 22

not expected to write effectively or discuss politics in great detail. Officers who graduate

from a service school or college, write papers for their classes and write evaluations of

their junior midshipmen. These requirements improve their skills in written
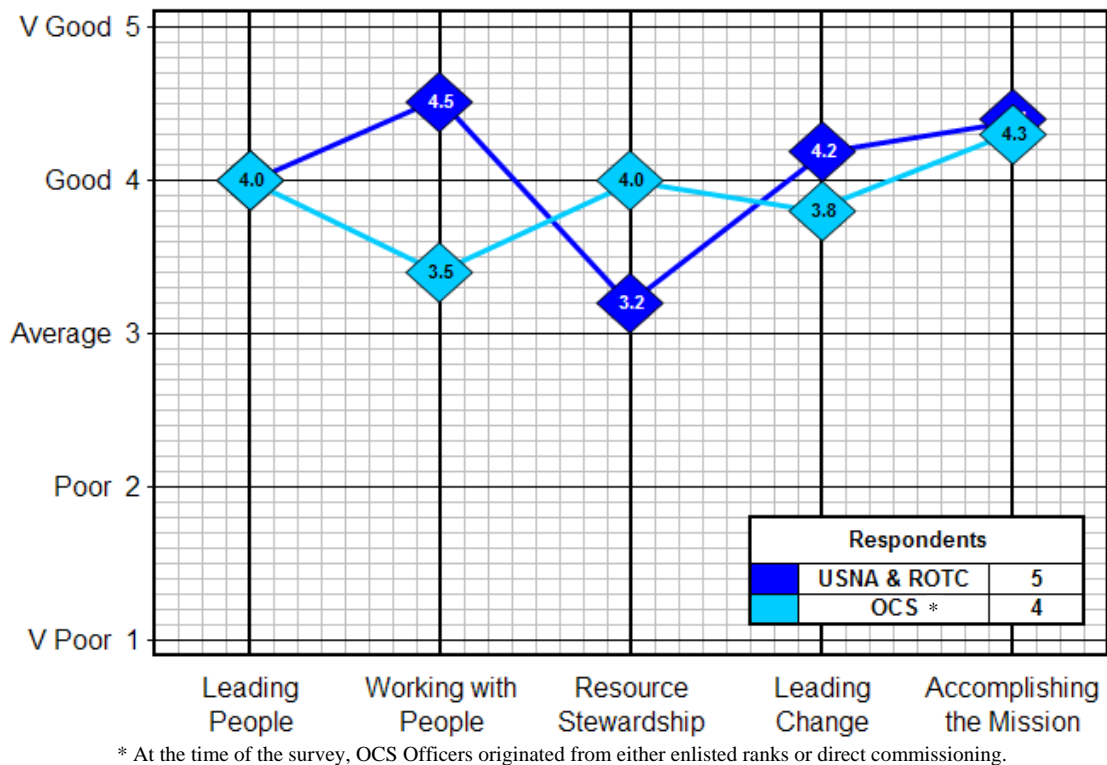
communications.

* At the time of the survey, OCS Officers originated from either enlisted ranks or direct commissioning.

Figure 11.   Navy Officer Commissioning Source Comparisons
Source: Created by Author, Information compiled from survey.

Figure 11 also shows the *Resource Stewardship* competency is inversely related

to the *Working with People* competency. In this situation, the OCS officers faired higher

than the service school and college officers on the *Resource Stewardship* competency.

During their enlistment the OCS commissioned officers interacted with the Supply

Officers on getting repair parts and replenishing the division's consumables. The service

school and college officers do not receive lessons on any warfare specialty financial management programs. The school is focused on building a generic naval officer that could be placed into the various warfare specialties in the Navy. As discussed earlier, the basic naval officer produced by the USNA or college ROTC do not have experience in SWO financial management programs or procurement and contracting. SWO's typically manage smaller budgets. SWO's do not manage personnel in a capacity that qualifies as human resource management. The XO of the ship is the primary administrator in managing personnel for the ship. The XO's are trained in human resource management from SWOS. They work with officer and enlisted placement officers to gain personnel required to fill key skill sets on their ship.
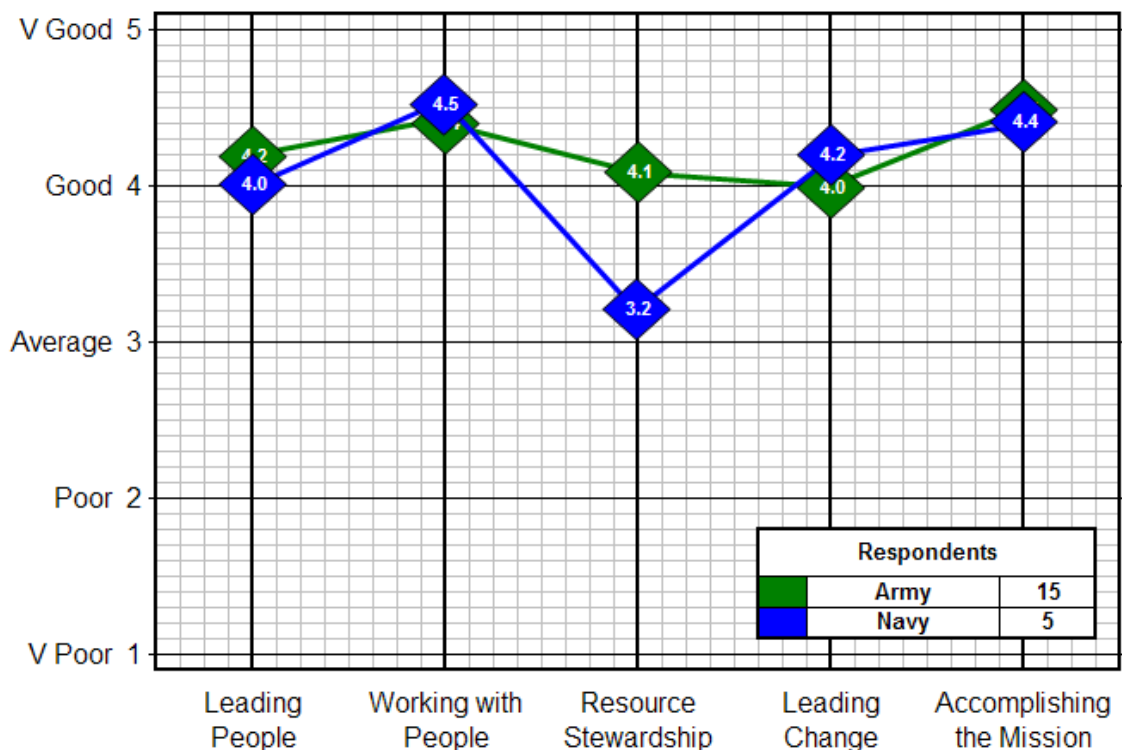

Figure 12.   Army and Navy Service School or College Comparison
Source: Created by Author, Information compiled from survey.

Figure 12 shows the comparison of service school and college commissioning programs between the Army and Navy officers. The major difference between the two groups is *Resource Stewardship*. As discussed previously, naval officers do not receive training on financial management other than how to balance a paycheck through a personal development class or instructional advice. All midshipmen are trained in a broad range of naval operations in order to expose them to the many warfare specialty areas. Financial, budgeting, and procurement training is not taught due to the complexity and variation of the specialty warfare programs.
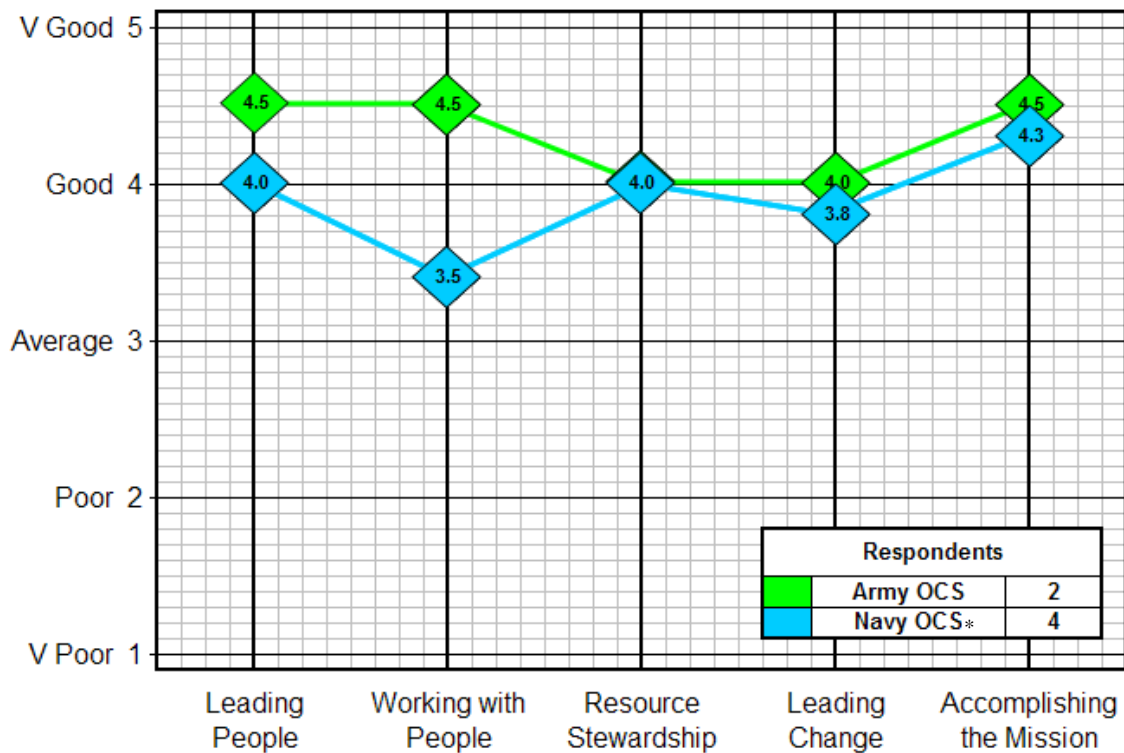

* At the time of the survey, naval OCS Officers originated from either enlisted ranks or direct commissioning.

Figure 13.   Army and Navy Officer Candidate School Comparison
Source: Created by Author, Information compiled from survey.

Figure 13 compares the Army and Navy OCS commissioned officers. All Army OCS officers come from the enlisted ranks and interact with large groups of fellow soldiers due to the nature of the job as an Army leader. The Army OCS commissioned officers are in situations everyday that involve leading people and working with people. The survey showed that the mix of Navy OCS officers had lower results when compared to Army OCS officers in *Leading People* and *Working with People*. Navy OCS officers with enlisted experience do have experience leading and working with other sailors, however the number of people they lead is much less than an Army soldier of equivalent rank. Navy OCS officers, whose military development begins with OCS, have no experience with the military style of leadership. Other than receiving a college education and all the skills that are developed therein, they are the least developed officers. Due to the technical expertise of most enlisted sailors, the prior enlisted OCS officers may not be as proficient in political awareness and written communication as the Army OCS officers.
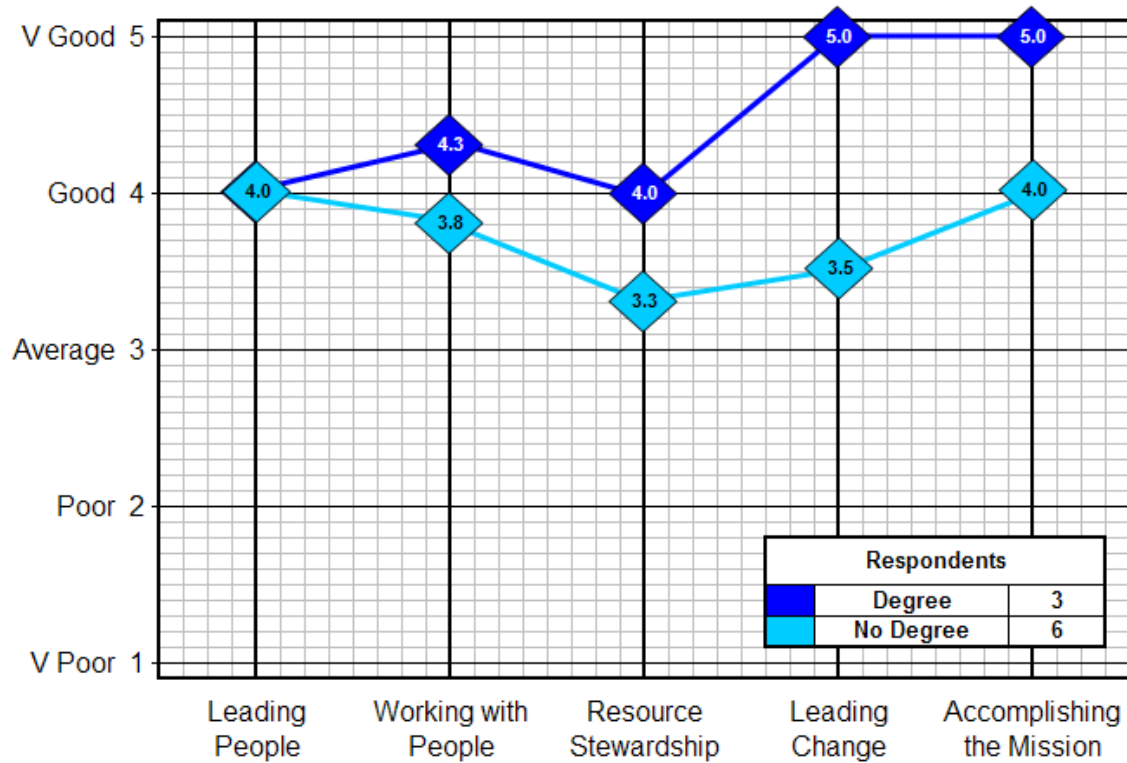
Figure 14.   Navy Master's Degree Compared to No Master's Degree
Source: Created by Author, Information compiled from survey.

Figure 14 compares the results of Navy participants that had earned a master's degree to Navy participants that did not have the opportunity to earn a master's degree. The clear separation in all areas but *Leading People* shows the benefits of earning a master's degree and its influence on the Navy's five leadership core competencies. Master's degree respondents showed good *Resource Management* skills but the *Leading Change* skills jumped up to very good. It appears the possession of a master's degree increased the officers' ability to develop the competencies within the *Leading Change* core competency. These competencies are: Creativity and Innovation; Vision; Strategic

Thinking; External Awareness; Flexibility; and Service Motivation. These competencies are areas a person learns during their higher education endeavors.
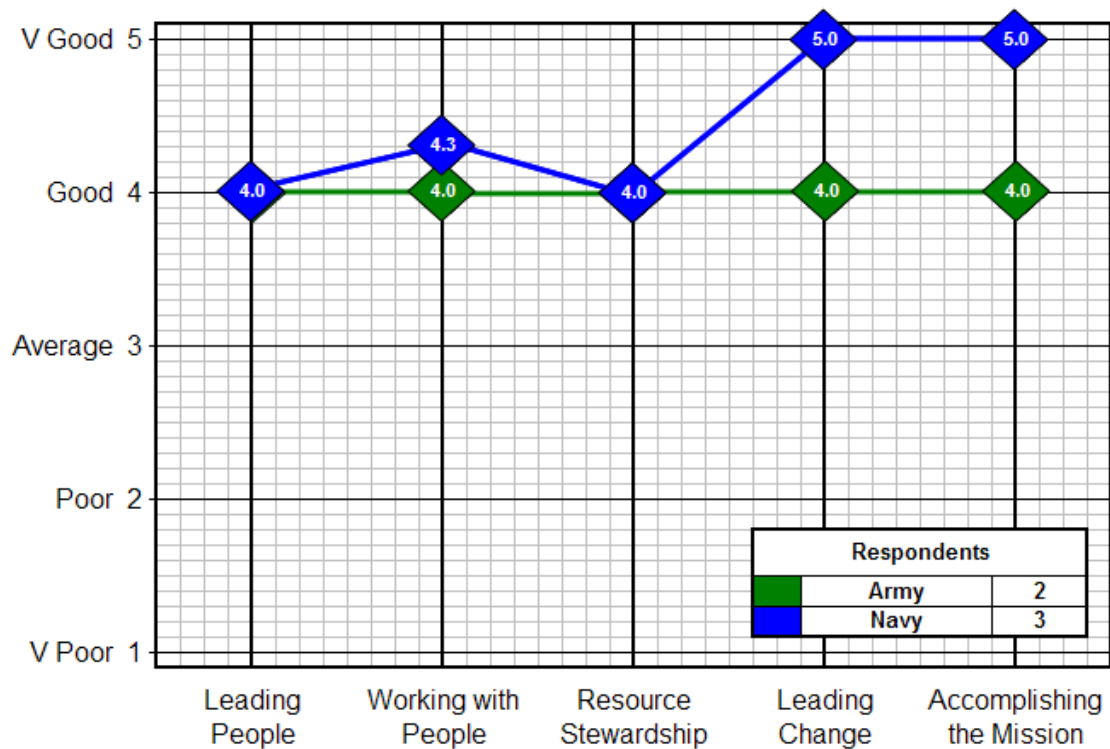

Figure 15.   Army and Navy Officers with a Master's Degree
Source: Created by Author, Information compiled from survey.

Figure 15 shows how Army and Navy officers with a master's degree felt about their skills in the Navy's five leadership core competencies. Army officers scored themselves as good in all competencies. Navy officers however rated themselves higher than the Army officers and very good at *Leading Change* and *Accomplishing the Mission*. By earning a master's degree, the officer is introduced to concepts not considered before. This additional education attributed to the naval officers believing that their development in *Leading Change* and *Accomplishing the Mission* had increased. Army officers felt the advanced degree did not help or hurt their leader development. This could be because

they were already knowledgeable in similar areas of the Navy's five leadership core

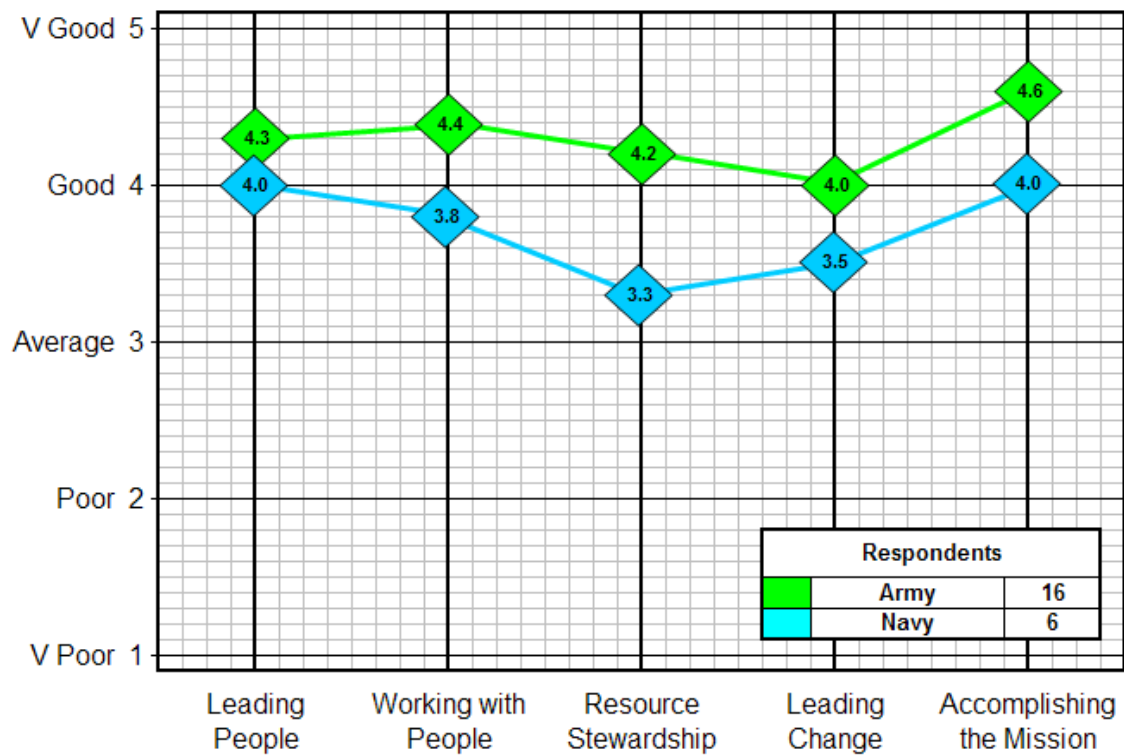competencies. Figure 16 shows a result that also supports this assessment.

Figure 16.   Army and Navy without a Master's Degree
Source: Created by Author, Information compiled from survey.

Figure 16 shows the comparison of Army and Navy officers who did not earn a

masters degree. The Army faired better than the Navy in all areas. This could be an

indication that the Army leader development programs are better than Navy leader

development programs. When looking at the figures that involve Army officers, the

averages were always above 4.0 or at the good level. If one were to evaluate these

numbers based on service culture, one could see that the Army officers rank themselves high, as the Navy officers rank themselves lower than the Army officers.
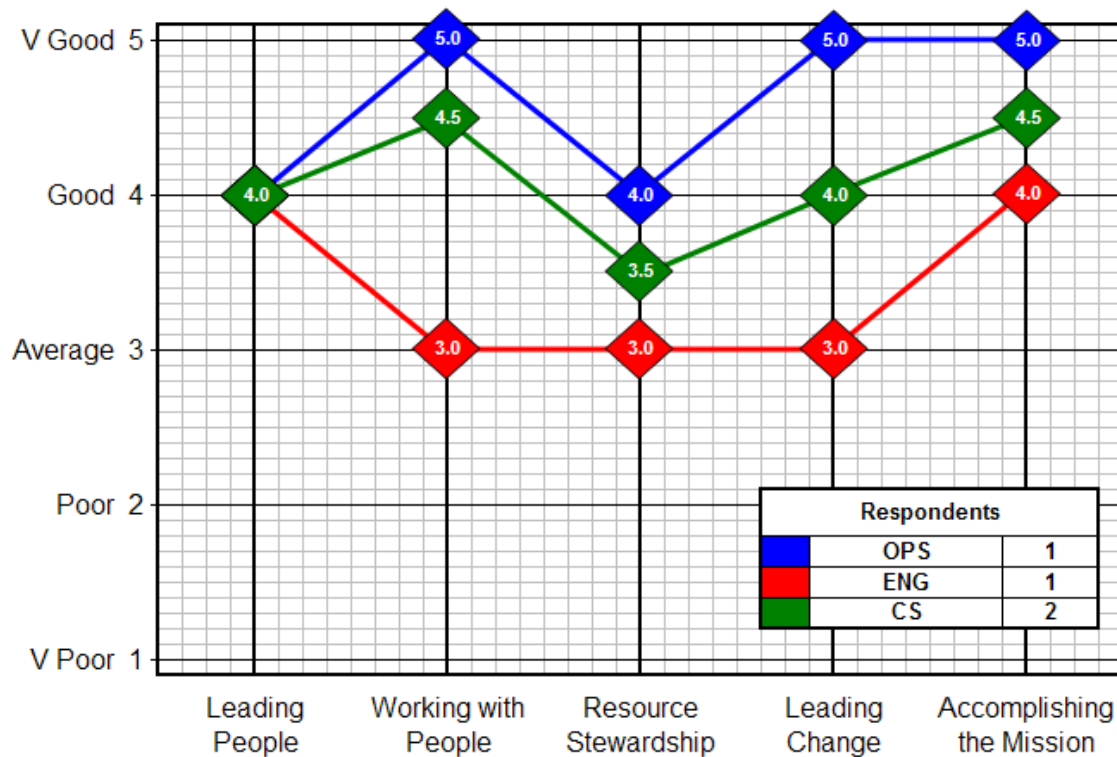

Figure 17.   Navy Division Officer Billet Background
Source: Created by Author, Information compiled from survey.

Figure 17 shows the differences in how division officer background affected the survey results. One explanation for the differences in career background may be engineers in the Navy are predominately strict in enforcing discipline and complying with strict rules when conducting their job. The job of an engineer is dangerous and compliance with the rules and safety procedures are critical to the survival of the ship and themselves. The discipline of a surface warfare engineer is unique in the Navy that it rivals a naval nuclear engineer. Division officers from this background tend to make better assessments of situations and are objective and critical when making assessments.

Junior officers in the engineering field of a ship are usually taken aback by this different culture and it takes time for them to achieve the standards that are expected of them. Low marks on their personal evaluations or constant counseling or mentorship by their senior officers also impact the way the junior engineer officer feels about their performance.

Division officers from the operations and combat systems department background have more experience with interpersonal relationships than the engineer. There are more opportunities to explore possible solutions to problems in operations and combat systems than the engineering field. Division officers are directly involved with ships schedule and interact with outside commands to do their job. Of all the departments, the operations and combat systems officers have the greatest opportunities to lead change on the ship.
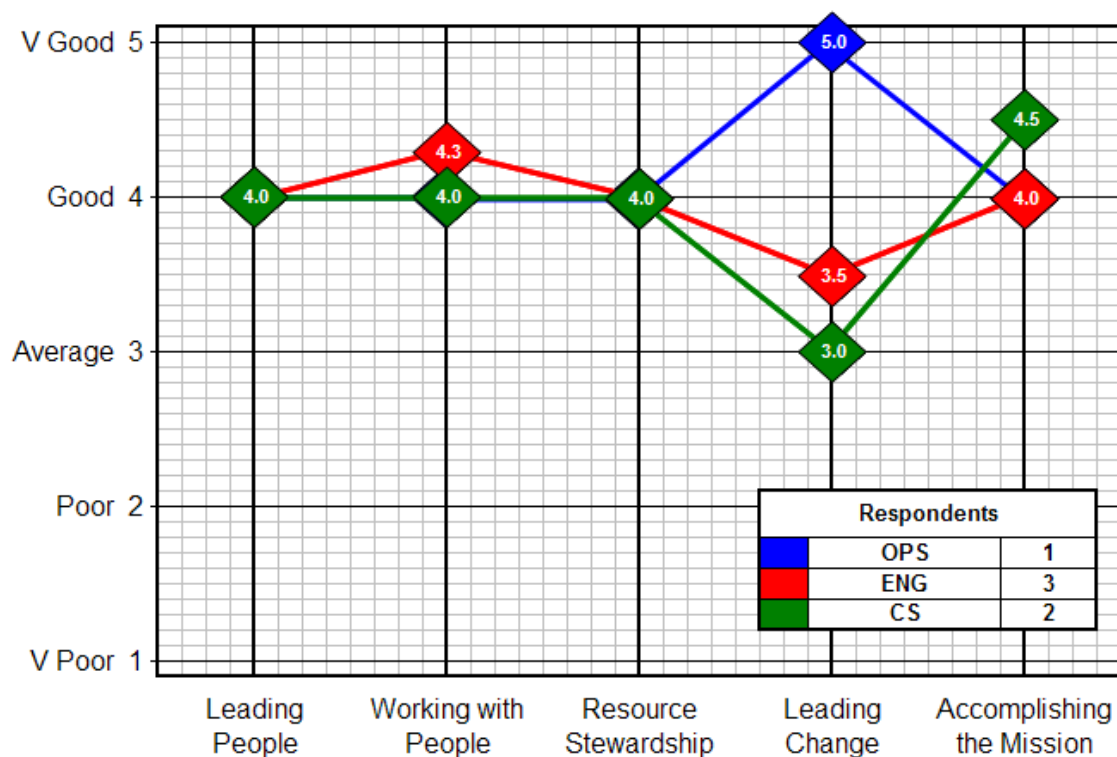

Figure 18.   Navy Department Head Officer Billet Background
Source: Created by Author, Information compiled from survey.

Figure 18 show the differences in how the department heads background affected the survey results. Only one respondent had previous experience in the same division as an officer and as a department head. Most department heads are assigned to a department where they lack experience. This assignment is intentional due to the fact that all SWO's are expected to take command of a ship during their career. In order to produce an officer who has experience in all areas of a ship, the Navy assigns officers to different departments during their career.

In figure 18, the combat systems department officers feel that they were not effective at leading change. One possible reason for this may be that the advances of technology are rapid and directive. Technological change happens continuously and as a response, the naval officers are aggressively managing the new training requirements and installations and not proactively leading the changes.

Engineering officers also understand the background of their job. During their division officer tours, they have had some experience in the engine room in order to qualify as a SWO. In addition, the lessons learned from fellow junior officers from the engineering department gave them the insight and experience of the naval engineering culture.

Operations officers have a lot of responsibility at the department head level to negotiate the ship's schedule and the ship's missions for the commanding officer. Their job assignment in operations and their consistent interaction off ship gives them the most freedom to make change for the ship. This may possibly explain why the operations officers rated themselves very high in *Leading Change*.

#4 -- Does training in leadership and management need to be increased in amount, quality, or reorganized for effectiveness?

Figure 19 shows that most of the Navy respondents felt that taking DHLC at the beginning of SWOS-DH course is not effective. Half of the officers felt that the lessons should be distributed throughout the SWOS-DH course. The Navy respondents believed that if DHLC is maintained at the beginning of the course, the lessons learned may not be retained when they report to their first department head assignment. The respondents believed the amount of time between DHLC and their first department head tour, without any leadership training or additional leadership activity, can atrophy the leadership lessons learned during DHLC.
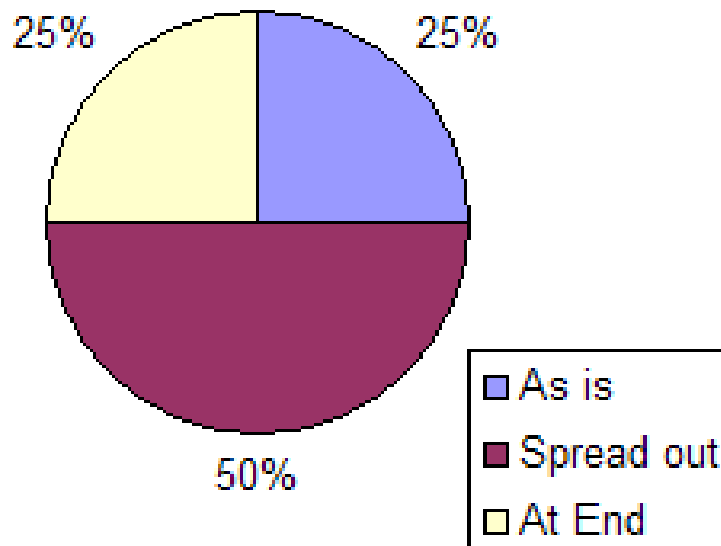

Figure 19.   Placement of Department Head Leadership Curriculum
Source: Created by Author, Information compiled from survey.

The trends in Figure 10 through 18 show a dip in most groups for *Resource Stewardship* and *Leading Change*. These repetitive trends may indicate that Army and Navy officers need more development on these competencies and/or that they need more job experience within these areas.

<u>Secondary Questions</u>

#1 -- How is SWOS leadership training effective?

DHLC is organized to instruct all five Navy leadership core competencies. SWOS supplies professional and knowledgeable instructors and uses the latest teaching tools to enhance learning in a classroom environment. The SWOS reinforces individual lessons learned by sharing individual experiences with fellow classmates and explaining the good and bad lessons associated with each example. The interaction between the instructor with the students and the student to student interaction make the classroom environment pleasing to actively participate in the discussions. This positive and respectful environment promotes the motivation to learn and creates new experiences for officers to recall in the future. Some of the DHLC lessons involve role-playing exercises that put the students into a stressful environment of stress to use the tools learned from previous lessons. Immediate feedback is given by the instructors and observing students to the participants, in order to reinforce the good learning points for the class.

#2 -- How does earlier training or continuous training for leadership and management increase the naval officer's ability to effectively use or increase life experiences?

One can say that life experiences have an effect on how a person learns. The military gives frequent performance reports to their personnel to provide feedback to improve future performance. These reports, mentoring, and counseling reinforce or teach the servicemen the effects of their actions on the job. These actions enhance the servicemen's ability to learn what was right and wrong during their experiences at work. The more experiences a person receives on the job, the more lessons will be learned for the future. Effective feedback is also necessary to ensure the right lessons are learned. If no feedback is established immediately following an event, the person will not learn if their actions were correct.[62]

<u>Primary Question</u>

Does Surface Warfare Officer School (SWOS) offer the matriculation and leadership training required to meet 21st century Department Head (DH) requirements?

Yes. SWOS offers a training program that develops the Navy's mid-grade officers with 21st century leadership skills and requirements. The results from the survey show that the core competencies of *Resource Management* and *Leading Change* ranked lower than the rest of the competencies. If more consideration is implemented in these core competencies, perhaps the Navy can become more efficient at managing money, personnel, future naval capabilities, and how the Navy prepares for future capabilities.

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[62] Senge, Pg. 23

CHAPTER 5

CONCLUSIONS AND RECOMMENDATIONS

Conclusions

Surface Warfare Officer School (SWOS) offers a training program that develops

Navy mid-grade officers with 21st century leadership skills and requirements. The method

Department Head Leadership Curriculum (DHLC) is taught makes the course unique to

most other Navy leadership courses. The interaction between the instructors and students,

and student to student interaction, reinforces the analysis of life experiences learned from

previous command assignments. The results from the survey analyzed in chapter 4 show

that the Navy core competencies of *Resource Management* and *Leading Change*, ranked

lower than the rest of the competencies. Figures 10 through 18 revealed a dip in most

participant groups for *Resource Stewardship* and *Leading Change*. These repetitive

trends may indicate that Army and Navy officers need more development on the

Resource Stewardship and *Leading Change* competencies and/or they need more job

experience with these areas.

In addition, the survey showed that 6 of 8 Navy respondents recommended that

the DHLC should not be placed at the beginning of SWOS-DH Course. Instead most of

the surveyed officers recommend that the DHLC be reorganized and continuous classes

on leadership be applied throughout the duration of SWOS-DH. Additionally, the DHLC

curriculum should be reorganized or evaluated to increase officer development in

Resource Management and *Leading Change* competencies. The quality of the instructors

and the methods used for teaching are still necessary to enhance the benefits of life

experience and improve the lessons learned, but more focus on the *Resource Stewardship*

and *Leading Change* competencies should be considered.

<p style="text-align:center">Recommendations</p>

One option to remedy the lower marks in *Resource Management* and *Leading*

Change might be requiring the students to take some computer-based training courses

offered online by Navy Knowledge Online (NKO). The applicable courses for *Resource*

Management and *Leading Change* are referenced in the Navy's Leadership Development

Resource Guide. *Navy Fleet Business Course* (CNL-FB-1.0) contains the most

comprehensive financial management lessons that are structured for Navy business

practices. This additional course requirement should be completed prior to the officer

graduating from the SWOS-DH Course. Further evaluation of the courses offered by the

Leadership Development Resource Guide (LDRG) in the *Resource Management* and

Leading Change competency areas should be evaluated to maximize the applicability and

effectiveness of the additional training. A survey similar to the one used in this study

might be used to evaluate post department heads evaluation of their performance in the

Navy's five core competencies. The new surveys might determine if the additional

courses selected under the LDRG are correcting the lower trends discovered from this

study.

Another option to improve the trends in *Resource Management* and *Leading*

Change competencies might be adjusting the placement of DHLC during the officer's

time at SWOS. The first week might be arranged to keep the *Course Foundation*, *How*

this Job is Different, *How Soon we Forget*, and *Command Climate*. In addition to this

first week, time might be allowed in the classroom to complete the recommended

Leadership Development Resource Guide CBT courses; for example the *Navy Fleet Business Course* (CNL-FB-1.0).

The remaining DHLC courses might be distributed throughout the remainder of the SWOS-DH course using the following rules: (a) Leadership class will be the first class every Monday morning. This will allow concentration with the remainder of the week for warfare training; (b) Leadership class will take a current training block and divide the curriculum to fit a smaller time bracket. The order of the learning blocks should be arranged to focus newer department head concepts towards the end of the course. For example; *Dealing With People*, *Collaboration Within Competition*, *Setting Direction And Alignment*, *Systems And Processes*, *Plan a Major Activity*, *Growing The Next Generation*, and finally *Expectations Of Me As A Department Head*; (c) Specialty curriculum and shipboard readiness curriculum will continue as scheduled but will allow the remaining leadership courses to occur every Monday morning.

This study's survey provides a reason that obtaining a master's degree before attending SWOS-DH Course might be a viable requirement. The added benefits of higher education, as shown in Figure 14, can only increase the officer's leadership competencies and abilities in follow-on tours.

Establishing a continuous training program in leadership will help ensure that the lessons learned through personal observation, mentors, and counselors are correct. Training programs established by senior leaders and ship's commanding officers must be correct and/or have originated from the Center for Naval Leadership. Senior leadership and commanding officers are typically the mentors and counselors that offer the feedback necessary for the junior leaders to learn from their job-related life experiences. Learning

institutions offer the ground truth on what is correct with regards to leader development. Senior leaders need to align their training programs with these institutions and give their people accurate assessments and feedback.

Subjects that need further study involve the effects of leadership training conducted onboard ship and time management to perform this training during the every busy daily routines of officers on a ship. In addition, there should be a study to determine if the many changes in department specialties throughout a SWO's career are actually good for grooming a commanding officer. On the other hand, officers who manage to stay in one career field often get better marks because they already know the job, but they may not be good as commanding officers because of this one-sided experience.

Further study in this topic might involve research into how the Army develops their officers through their career progression and perhaps consider those Army techniques or topics to enhance the Navy's leader development process.

GLOSSARY

Division Officer. A SWO junior officer assigned to command a division of a department on a ship. The officer is the final link between the Commanding Officer and the crew. The junior officer is in charge of roughly 15 – 50 personnel depending on the ship size.[63]

Department Head. A SWO is the CO's representative in all matters pertaining to the department, and conform to policies and orders. He keeps the CO informed as to the general condition of machinery and equipment, especially in cases that might affect safety or operational readiness.[64] A department head is in charge of roughly one-third of the ships' personnel.

On the Job Training. A term used to describe informal training conducted during your current job assignment that pertains to your current duties.[65]

SWO. Surface Warfare Officer. Naval officer whose primary assignment resides on board a Naval warship and is charged with the management and actions of the ship.[66]

SWOS. Surface Warfare Officer School, located in Newport, Rhode Island.[67]

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[63] Stavridis. Pg 50
[64] Ibid. Pg 49
[65] Beardon. Pg 195
[66] Stavridis. (DIVO Guide) Pg 277
[67] Ibid.

ADDITIONAL RESEARCH INFORMATION

Survey results not evaluated and not applicable for this study:
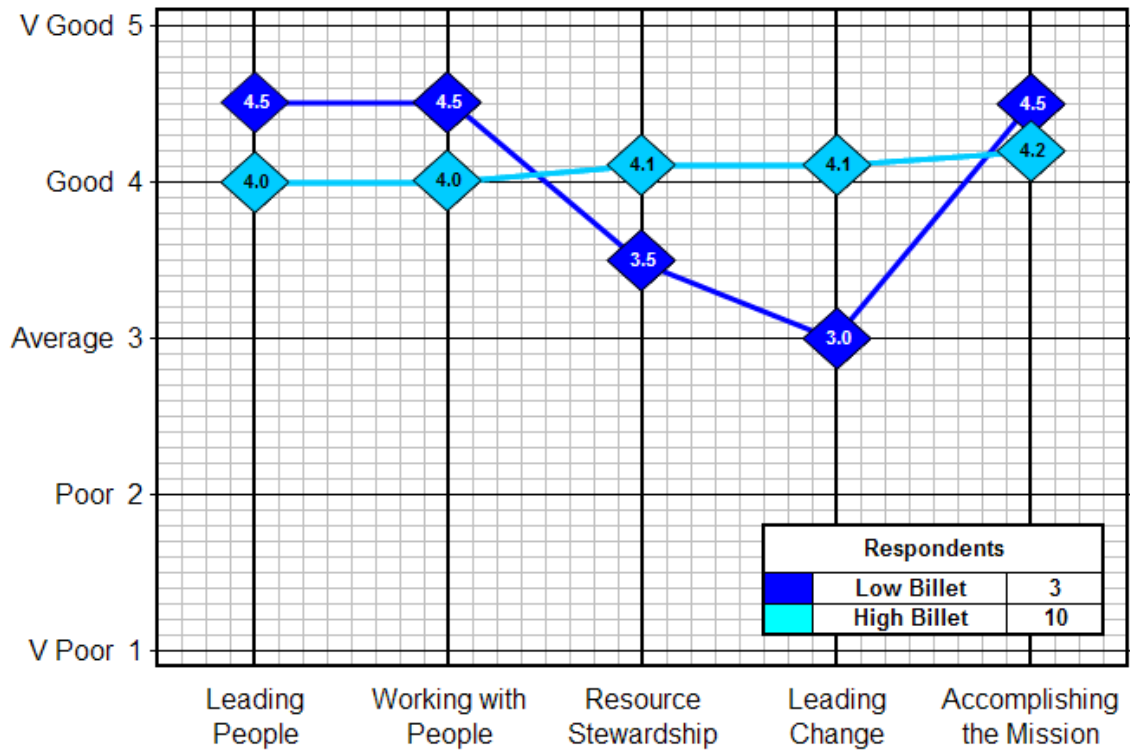

Figure 20.   Army Pre OAC/CCC Officer Billet Tours.
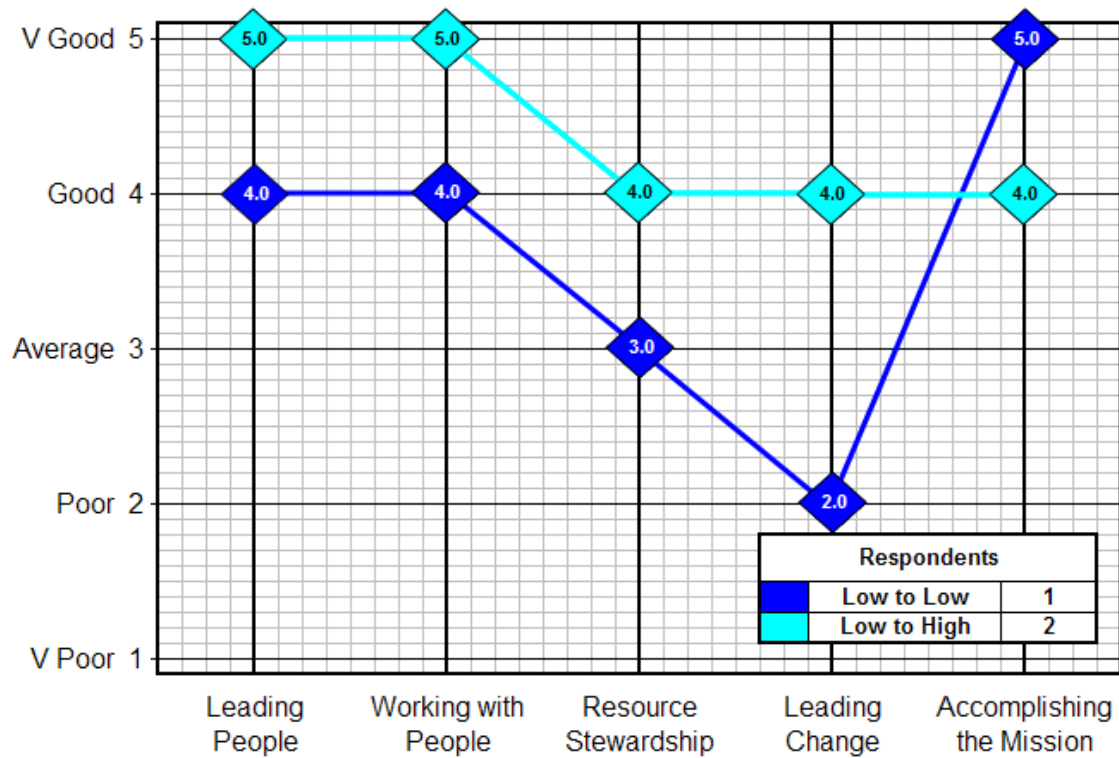*Source:* Created by Author, Information compiled from survey.

Figure 21.   Army Post OAC/CCC Officer Billet Tours following Less Desirable Tours.

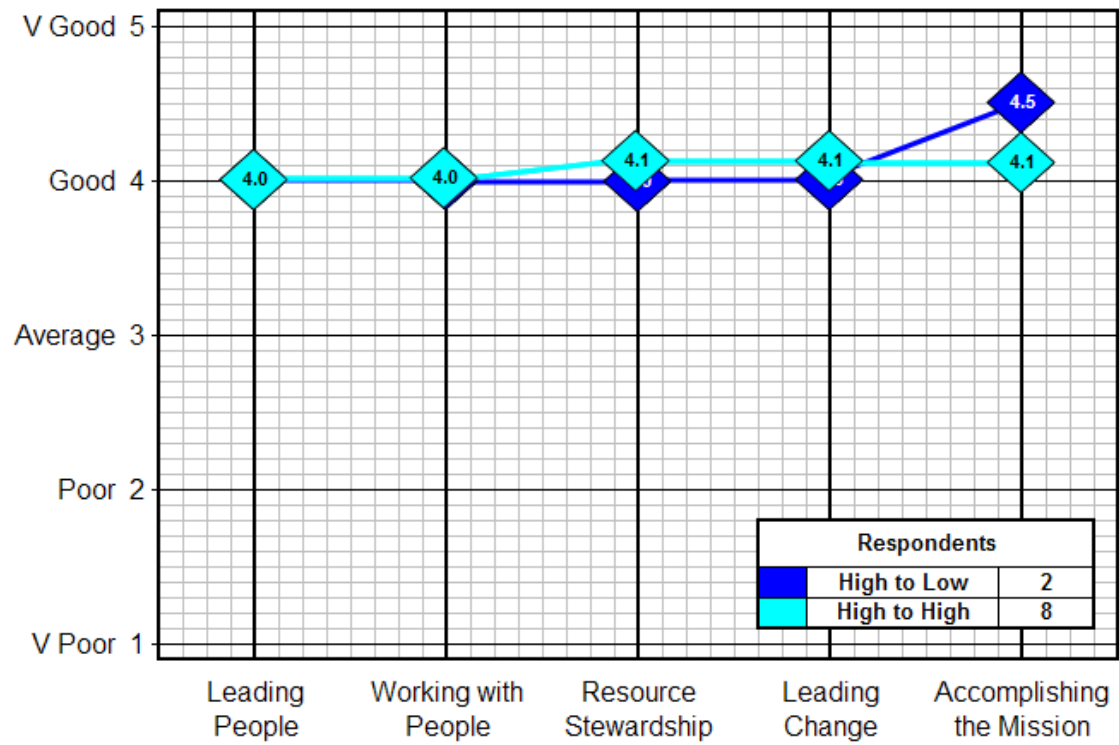*Source:* Created by Author, Information compiled from survey.

Figure 22.   Army Post OAC/CCC Officer Billet Tours following More Desirable Tours.

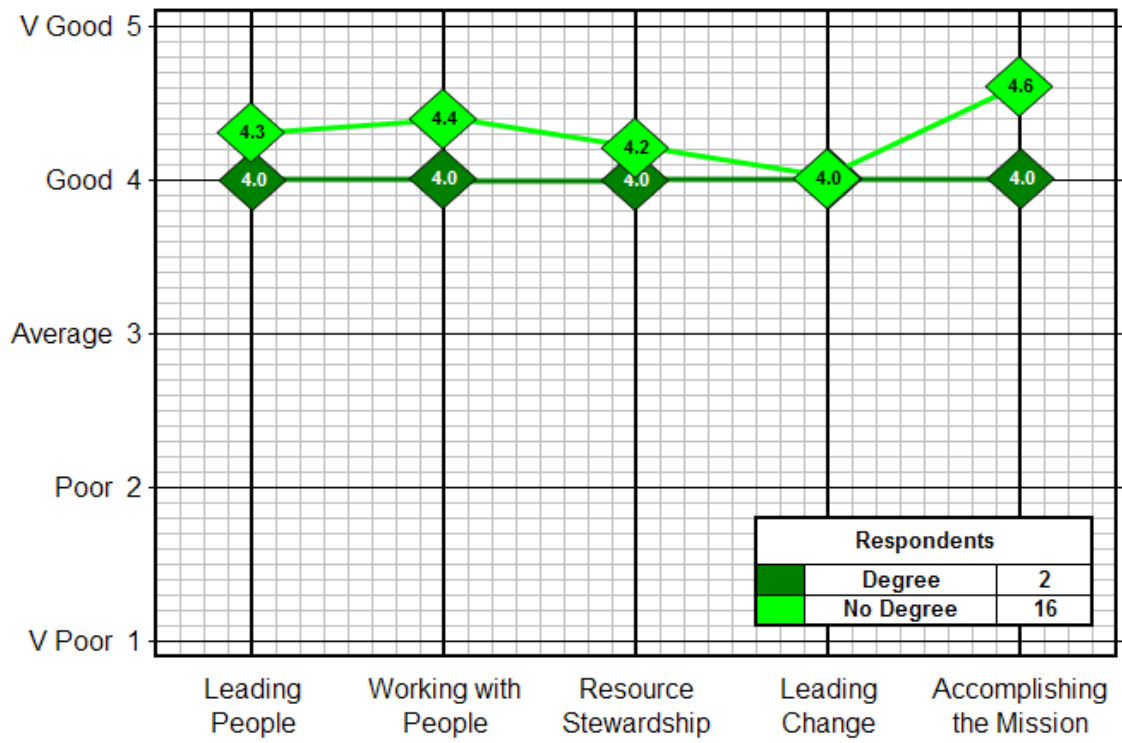*Source:* Created by Author, Information compiled from survey.

Figure 23.   Army Master's Degree Compared to No Master's Degree.
Source: Created by Author, Information compiled from survey.

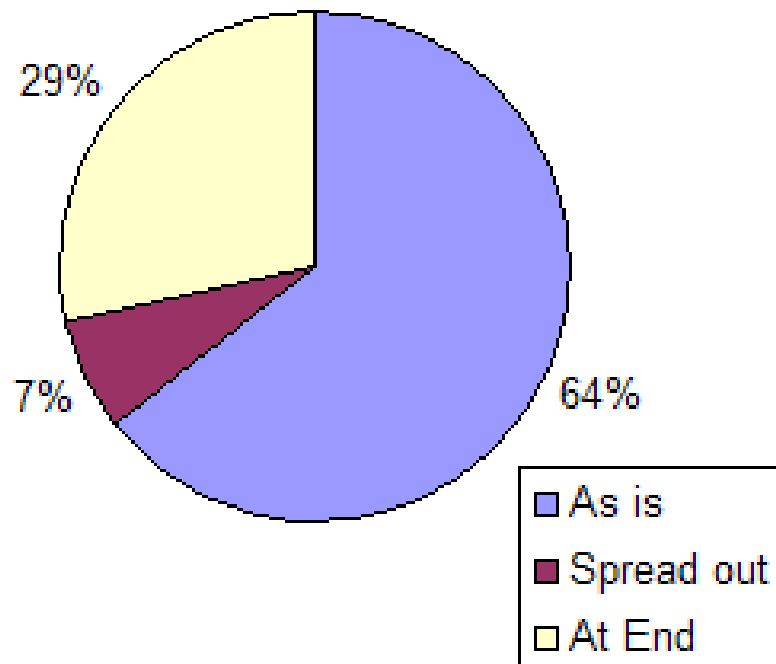# Captain's Career Common Core Course (C5)

Figure 24.   Placement of Army Captain's Career Common Core Course
Source: Created by Author, Information compiled from survey.

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