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An analysis of leadership behavior in extreme military contexts

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NAVAL POSTGRADUATE SCHOOL

MONTEREY, CALIFORNIA

MBA PROFESSIONAL REPORT

An Analysis of Leadership Behavior in Extreme Military Contexts

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By: Robert Crosby

September 2008

Advisors: Edward H. Powley
Cynthia L. King

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The September 11, 2001 terrorist attacks, Virginia Tech Shootings, and Hurricane Katrina represent examples of intense circumstances that appear to be increasingly commonplace. This type of event seems to be occurring with much greater frequency than before. How city officials, military officers, emergency responders lead in extreme situations is an important area of study. The central aim of the project is to uncover the key leadership behaviors and competencies necessary for managers and leaders dealing with major trauma and extreme events. The project identifies leader behaviors related to the competencies for effective leadership. Based on the level of violence and tragedy in society, it is vital to explore how competency-based leadership may help deal with this trend. A study of leadership in extreme circumstances is one avenue to help executives, managers and subordinates bring healing and cohesiveness to their respective workplaces in times of crisis. The lessons learned from extreme cases provide new perspectives on how to manage and lead and, as a result, there is great potential to inform managers and leaders everywhere.

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AN ANALYSIS OF LEADERSHIP BEHAVIOR
IN EXTREME MILITARY CONTEXTS

Robert Crosby, Lieutenant, United States Navy

Submitted in partial fulfillment of the requirements for the degree of

MASTER OF BUSINESS ADMINISTRATION

from the

NAVAL POSTGRADUATE SCHOOL
September 2008

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AN ANALYSIS OF LEADERSHIP BEHAVIOR
IN EXTREME MILITARY CONTEXTS

ABSTRACT

The September 11, 2001 terrorist attacks, Virginia Tech Shootings, and Hurricane Katrina represent examples of intense circumstances that appear to be increasingly commonplace. This type of event seems to be occurring with much greater frequency than before. How city officials, military officers, emergency responders lead in extreme situations is an important area of study. The central aim of the project is to uncover the key leadership behaviors and competencies necessary for managers and leaders dealing with major trauma and extreme events. The project identifies leader behaviors related to the competencies for effective leadership. Based on the level of violence and tragedy in society, it is vital to explore how competency-based leadership may help deal with this trend. A study of leadership in extreme circumstances is one avenue to help executives, managers and subordinates bring healing and cohesiveness to their respective workplaces in times of crisis. The lessons learned from extreme cases provide new perspectives on how to manage and lead and, as a result, there is great potential to inform managers and leaders everywhere.

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I.   INTRODUCTION

As a young sailor stationed in Virginia, the author requested leave to visit his family in Mississippi but because of the ship's work schedule his leave chit was denied. The captain empathized by explaining his reason for the denial. This action by the captain was not required, but he understood his sailor's feelings and expressed his empathy in a little yellow "post it" attached to the chit with the words: "Seaman Crosby I am sorry I cannot let you go this time, please submit when the schedule relaxed a bit." This has left a lasting impression and an aspiration to lead men similar to the ways of his captain.

This captain ruled with a quiet, warrior spirit and possessed great people skills. He often walked through the ship to find any sailor available for conversation as he was always willing to listen. The Captain prided himself on knowing the members of all his crew's families. The Captain was also a combat warrior and never sacrificed safety at any price. Once, while returning from a deployment, the crew was very excited to see their loved ones; however, on the day of arrival, the fog was very dense and safe passage through the channel was severely impacted. The captain was faced with two options: Option 1- Continue at a slow pace and make it home safely; Option 2- Remain at sea until the fog dissipated, then enter the channel to proceed home. The Captain chose option 2 and the crew was furious, but in hindsight, it was the optimal decision. The captain was aware of the dangers that lurked in the fog because several other vessels were underway that morning and mishaps occurred. The behaviors exhibited by The Captain were vital to his job as commanding officer. Due to the complex nature of a ship at sea, where, in a moment, life and death experiences occur good leadership is not only required, it is paramount.

The September 11 terrorist attacks, the Virginia Tech Shootings, and Hurricane Katrina represent examples of intense circumstances that appear to be increasingly commonplace. This type of event seems to be occurring with much greater frequency than before. How city officials, military officers, and emergency responders lead in extreme situations is an important area of study. The central aim of the project is to

uncover the key leadership behaviors and competencies necessary for managers and leaders dealing with major trauma and extreme events. The project identifies leader behaviors related to the competencies for effective leadership.

Whereas the focus of leaders often centers on improving profits and reducing inefficiencies, the author takes a different view; one related to leadership as meaning making and rooted in character, positive social connections, and leading with values (Powley & Taylor, 2006). Furthermore, the behavioral competencies leaders need in extreme situations has received less attention. The author's research examines leadership from a contextual standpoint (Osborn et al., 2002). Specifically, characteristics important for managing in uncertain and challenging environments are identified (Boyatzis et al., 2004). The desire is to know which leadership characteristics are practiced in extreme, life-threatening environments.

Based on the level of violence and tragedy in society, the author believes it is vital to explore how competency-based leadership may help deal with this trend. The lessons learned from extreme cases provide new perspectives on how to manage and lead and, as a result, there is great potential to inform managers and leaders everywhere.

This research offers several propositions about leadership in extreme cases. First, an overview is provided of what is meant by leadership as meaning making, and second, several vignettes from the military are given that will introduce propositions regarding key characteristics for extreme situations. The conclusion offers one approach to identifying and examining leadership characteristics in extreme events.

One extreme context for leaders involves asymmetric warfare situations such as improvised explosive devices or mishaps on board military vessels. All of these situations require top performance from leaders. Anything less may possibly lead to disaster, and in many cases, death. A study of leadership in extreme circumstances is one avenue to help military leaders bring healing and cohesiveness to their respective workplaces in times of crisis and may be applicable to other extreme organizational problems. The importance of this topic is clear with respect to lives being saved and disasters averted if the leadership development models focused on proven behaviors and competencies.

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This research explores failures and successes of past leadership. Even after September 11, 2001, the Hurricane Katrina fiasco proves the country was unprepared for the crises. First, the Hurricane Katrina situation is analyzed and shows valuable lessons learned and how the national and local government leaders failed the citizens of the Gulf Coast. There are various definitions that can be used to describe crisis or leadership, those that are applicable to this research are investigated. However, the important aspect remains. Regardless of the crises, leaders are paid to lead successfully in any situation. There have been examples of successful displays of leadership as analyzed in the corporate sector and spotlights Southwest Airlines. As demonstrated in the post 911 airline crises, Southwest's leaders' ability to put their people first made them successful at a difficult time. US Airways leaders, who chose to layoff and implement cutbacks, lost millions in revenue and a large customer base. Value-based leadership is analyzed and shows how value-based leadership requires leaders to be solid not only in their job performance, but also in their moral convictions. How value-based leadership characteristics are necessary for present and future leaders is demonstrated as well. A real-life view of key competencies required for leadership is offered as culled from vignettes written by military leaders that portray true life and death situations and how their actions translated to key characteristics for leadership in extreme circumstances. This research develops the relevance of core characteristics of leadership under pressure and answers the question: What key leadership competencies are exhibited by effective leaders in crisis situations? A comparison of those proven effective in literature and in military vignettes shows the effectiveness of the competencies.

A.   FAILURE OF PAST LEADERSHIP

Twice in recent history homeland security has been tested: first on September 11 and second with Hurricane Katrina. In the first case, the civic and emergency personnel responders after September 11 showed admirable fortitude and resolve, but the responders of Katrina buckled (Kettl, 2006). Failures in response may be attributed to various factors, but one thing is certain: the inability to apply lessons learned has cost more than money, it has cost lives. According to Kettl:

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And once the storm left, the problems certainly didn't end. Federal, state, and local governments, together with the private and nonprofit sectors, face the monumental job of rebuilding New Orleans and the other stricken areas, where the bill will likely run $200 billion or more. Hundreds of thousands of displaced residents will need to recover their lives. (p. 2)

This leaves one wondering whether local governments and emergency service providers will default when a crisis strikes again. In the aftermath of Hurricane Katrina, television reporting of the plight of New Orleans was unmistakably clear: a category five hurricane hammered the city and left thousands helpless and homeless. The situation unfolded as if in slow motion as federal and state government officials carried on with business as usual. The slow response from the government prompted a host of questions and heated debates about what exactly went wrong in the response. According to Kettl:

> Hundreds of firefighters from around the country were stuck in Atlanta, receiving days of training on community relations and sexual harassment, before they reached the front lines. Truck drivers carrying thousands of water bottles were prevented from driving to New Orleans because they had not yet been assigned a "tasker number." Sheriffs from other states simply ignored the paperwork. Wayne County, Michigan, Sherriff Warren C. Evans said he refused to stop his convoy of 6 trailer trucks, full of food and water, and 33 deputies. "I could look at CNN and see people dying, and I couldn't in good conscience wait for a coordinated response" (p. 8).

High ranking officials were aware that bureaucracy could get in the way of saving lives. President Bush was quoted as saying: "We will not allow bureaucracy to get in the way of saving lives"(Kettl, 2006). However, Rep. Charlie Melancon (D-La) told Nightline, "What I've seen the last several days is bureaucrats that were worried about procedure rather than saving lives. That's what I've seen" (Kettl, 2006, p. 10).

Five years earlier after the terrorist attacks on September 11, President Bush signed a bill creating the Department of Homeland Security. His promise was clear:

> Today we are taking historic action to defend the United States and protect our citizens against the dangers of a new era. With my signature, this act of Congress will create a new Department of Homeland Security, ensuring that our efforts to defend this country are comprehensive and united. The new department will analyze threats, guard our borders and airports, protect our critical infrastructure and coordinate the response of our notion

for future emergencies. The Department of Homeland Security will focus the full resources of the American government on the safety of the American people (Kettl, 2006, p. 10).

Local government and emergency responders failed the citizens of the Gulf Coast, as the disaster was deemed the largest failure in the public administration's history (Kettl, 2006). The delay caused billions of dollars in damage, as well as many families becoming displaced and broken unnecessarily, (Kettl, 2006). The first estimates for the Katrina costs were over $200 billion (Kettle, 2006), and more lives could have been saved if administrators and government officials concern about people trumped bureaucracy.

The Hurricane Katrina bill far surpassed the initial costs of recovering from 9/11 and put her on track to being one of the most expensive natural disasters in American history. It can only be wondered how much of the pain and suffering could have been avoided if the officials responded different? An integrated response would have saved lives; however, leadership is the real issue according to Kettl:

> We need a much more agile emergency response system, and there is disturbing evidence that FEMA's response was crippled by internal problems within DHS. Even more important, however, is the recognition that good leaders can bridge the boundaries of any bureaucracy. (p. 13)

After September 11, the country seemed to bind together, rebuild, and strengthen the communities that had been shattered by terrorism. Politicians reached across party lines to quickly pass terrorism legislature. This effective show of solidarity was not displayed in the aftermath of Hurricane Katrina. Leaders and managers at the local, and in some cases, the federal levels were unable to put the homeland security force into action in time. "When put to the test, it failed. The reason? We failed to learn."(Kettl, 2006, p. 4)

The response to Hurricane Katrina was a failure, but the incident exposed serious problems to combat crisis in general. The key lessons specify what local leaders might have done differently. Kettl (2006, p. 13) outlines some lessons learned:

- Crisis is ever changing and innovative solutions are required
- Bureaucracy will stymie production

- "Govern instead of reaching for symbols. Plan, practice, implement—and learn."
- Instill confidence in the citizens with good communication
- Constant analyze new strategic development tactics in crisis mode
- Old rules and regulations are not as important as crisis stabilization
- Review old laws for present day usage

It has been shown that leaders can make good decisions under pressure. Leaders can also buckle under pressure as in the case of Katrina. If the next disaster occurred tomorrow, a leader possessing the characteristics of proven leaders are preferable. An authentic look at leadership is essential for the development of the select few who will deal with the inevitable, future catastrophic engagements.

B.   DEFINING CRISIS AND LEADERSHIP

Crises are complex events that destroy livelihood and create fear. Crises can vary from hijacking an airplane, rampage shootings, or national disasters, and they can impact lives forever. Crises test the adaptational response of the organizational communities (Creamer, 1991) and create a disruption to normal functioning for a short time, but do not produce lasting "near-complete disruption of all social processes [and] social structures" (Britton, 1986, p. 3). According to Smallwood and colleagues et al. (2003):

> There are many types of crises. A crisis could threaten lives such as with a fire, terrorist attack, or war. Or a crisis can be downsizing, criminal investigation, or takeover attempt. Crisis situations involve the fear of the known and unknown. The fear arises from perceived fear or emotional danger. (p. 1)

Serious failures from the Katrina disaster point to a lack of leadership. Documented failures included (Georgious et al., 2007):

- A failure to order before the landfall the convention of the Interagency Incident Management Group designed to provide coordinating support for disaster prevention (Ink, 2006):
- A failure to invoke before the landfall the Catastrophic Incident for a full switch into the mode of operations from reactive to proactive (Catastrophic Disasters: Enhanced Leadership, Capabilities, and

Accountability Controls Will Improve the Effectiveness of the Nation's Preparedness, Response, and Recovery System: GAO-06-618.2006),

- A failure to appoint before the landfall a Principal Federal Official (PFO) in charge of the operational federal coordinating officers (Ink, 2006).

Additionally, network relationships among key federal players were observed to be poor and inadequate. By way of explanation, the following three-dimensional approach is offered:

- Local, State, and Federal agencies critically failed to interact in the framework of the National Response Plan (Kapucu & Van Wart, 2006).
- The dynamic conditions under high crisis demanded high levels of flexibility (Kapucu & Van Wart, 2006).
- Federal Managers did not pay sufficient attention to the initial warnings of the inbound hurricane. They could have exercised a response system based on warning incident learning (D. L. Cooke & Rohleder, 2006) where normal precursor incidents trigger necessary actions; before, during and post-crisis.(p. 7)

Based on the above failures, it is imperative that homeland security officials and military personnel, who serve a critical role in coordinating an integrated response, demonstrate behaviors that represent effective leadership to deal with them. Crucial to developing leadership is the recognition that every tragedy or crisis is special, with unusual challenges. Kettl (2006) argues that leaders in crisis need to work like "symphony conductors to bring the right collection of instruments" such as empathy, realism, awareness, vigilance and inspiration to increase the chances of success (p. 13). Leaders must be developed efficiently to handle the multitudes of extreme situations to prevent the failures displayed during Hurricane Katrina.

There are many definitions for leadership, but broadly, it can be conceived of as the ability to motivate an individual or group of people to strive toward a common goal (Smallwood, 2003). Good leaders have an ability to make people do what they normally would not do to achieve a certain aim. A leader must possess various tools in his or her collection to motivate personnel, and lessons from the corporate sector provide some valuable insights into the behaviors of competent leaders.

C.   LEADERSHIP LESSONS FROM THE AIRLINE INDUSTRY

The airline community was the hardest hit following September 11. While some airlines were able to rebound, others slid deeper and deeper into debt and encountered bankruptcy. According to Gittell (2006):

> The day after the attacks, the major airlines appeared in front of Congress seeking relief in the form of federal assistance. As a result, $15 billion was allocated to the industry…Even though all of the major airlines were devastated about equally in terms of the initial decline in passenger traffic, they did not respond in the same way. Some airlines emerged from this crisis resilient and strong, whereas others languished and even confronted bankruptcy. (p. 301)

According to Gittell, some companies stayed afloat while others failed; leadership was the deciding factor. Southwest Airlines recovered more quickly than any of the other airlines and US Airways had the slowest recovery of all (Gittell, 2006). These two distinct points deserve more investigation to understand the leaders who were at the helm and evaluate the decisions they made. One of the primary differences was how leaders adapted employment policies because of the terrorist attacks.

US Airways' leaders conducted more layoffs than any other company in business after September 11, 2001, representing a 24% workforce reduction compared to the industry average of 16%. This approach was indicative of the US Airways way of business (Gittell, 2006). US Airways seized the opportunity presented by the 9/11 tragedy to downsize and restructure in ways that would have been otherwise impossible. Specifically, the attacks allowed US Airways to carry out a "force majeure" policy (Gittell, 2006, p. 18), allowing the company to legally release contractual obligations because of the "uncontrollable incident." Gangwal, the CEO, in a conference call with analysts said, "I don't want to take advantage of the situation, but we have to do what is right for the company" (Gittell, 2006, p. 18). The employees were upset and filed grievances against their company, and many realized US Airways leadership did not have their best interest in mind. It was as if the airline disregarded the human relationships involved. The leaders in this extreme situation failed and cost the company millions. According to Gittell:

Employees responded negatively to this apparent opportunism and disregard for human relationships on the part of US Airway's leadership, and their representatives filed a series of grievances against the airline related to its use of the force majeure clause… Whether the actions taken by US Airways were legal or not, they are expected, based on our model, to do lasting damage to relational reserves and to undermine the credibility of its leadership. Indeed, US Airway's leadership was replaced in early 2002 due in part to its loss of credibility with employees as a result of its response to the crisis of September 11. (p. 317)

On the other hand, Southwest maintained a policy to limit layoffs. Southwest was determined not to layoff its people and to take better care of its personnel through this crisis. Traditional wisdom suggests that avoiding layoffs in the face of a dramatic decline in demand would jeopardize Southwest's short-term well-being. The majorities of businesses use layoffs as a way to stimulate short term growth, but Southwest chose to invest in its people during the hard times. Unlike US Airways, Southwest sacrificed short term loss for long term gain. In fact, Southwest was losing "millions of dollars per day" in the weeks following the terrorist attacks (Trottman, 2001, p. A1). Southwest's CEO Jim Parker explained his rationale: "We are willing to suffer some damage, even to our stock price, to protect the jobs of our people" (Conlin, 2001, p. 42). Southwest indicated a willingness to suffer these immediate losses in order to protect relational reserves.

Effective leading through crises is just as important in the military as it is in the corporate sector, as military officers have led through similar extreme cases repeatedly with success and failure. For example, concerns for military leaders' performance and effectiveness in crises situations have been the center of attention for training and readiness exercises (Gavino, 2002). However, whereas the focus for most organizations centers on the improving profit margins, it is important to take another view, as one related to leadership rooted in moral fiber, positive influence, and leading with ethics. (Powley & Taylor, 2006) Leadership is based on the interaction between a leader, subordinates, and a context and the behavioral competencies leaders need in extreme situations require focused attention.

This project identifies behaviors important for managing in uncertain and challenging environments (Boyatzis et al., 2004). In order to know which leadership

behaviors are practiced in extreme, life-threatening environments, a series of military vignettes taken from personnel who experienced a true life and death situation were compiled. Those who gave the accounts considered the leaders involved successful in their operations; therefore, common themes were drawn from their actions and were analyzed to assess common effective behaviors.

The lessons learned from extreme cases provide new perspectives on how to manage and lead and, as a result, there is great potential to inform managers and leaders, particularly but not exclusively in the military environment. The overview of the project begins with failures associated with Hurricane Katrina and its lessons learned. It also shows how Southwest was able to rebound due to putting people first and how US Airways' cut costs approach led to their dissolution.

The second chapter involves leading with values and specifically discusses leader's actions before and after the crises, it shows how leaders who are in tune with their own weaknesses and strengths, work well with others and manage crises adequately. The third chapter shows the extraction of leadership competencies from specific behaviors using thematic coding. The fourth chapter gives a brief synopsis of the vignettes and goes into detail about each prevailing characteristic exhibited. The final chapter of the project provides conclusions from this research with questions remaining such as: How will this experience impact my life as a future submarine Department Head officer? The limitations of the project and scope are discussed in the conclusion, as well as propositions about leadership in extreme cases.

II. LEADERSHIP QUALITIES

Consistent with the leadership approach at Southwest Airlines, effective leadership for this project is defined as a leaders' ability to recognize the human and relational impact. This chapter presents a relational and humanistic approach to leadership and suggests that leaders who adopt such a stance can more effectively manage crises.

Crisis events are characterized by "high stakes—the likelihood of major losses (to life, limb, property, heritage, or other highly valuable social or private assets)" (Gibbons, 2007, p. 3). Good leadership in these situations often means organizations are effective at leading change, operating efficiently, and maintaining high productivity. Leaders' actions reflect the prevailing logic of their position. It is the author's belief that action based on economic imperatives alone will lead a number of organizations to ruin and overall economic downturn and also that leadership from this perspective may be viewed as amoral, individual value-based, and ideological.

A. VALUES-BASED LEADERSHIP

Studies of leadership are often concerned with descriptions or characteristics of a leader (e.g., (Boyatzis & McKee, 2005; Quinn, 2004). Who and how a leader responds, aspects that are important for values-based leadership, are captured in various conceptualizations such as: servant leadership (Spears & Lawrence, 2004), spiritual leadership (Fry, 2003), authentic leadership (Gardner et al., 2005), resonant leadership (Boyatzis & McKee, 2005; Goleman et al., 2002), the fundamental state of leadership (Quinn, 2004), or the eighth-habit (Covey, 2004). In each, leader attributes are markedly similar: leaders are more in touch with their personal identities, their values, and their ideal aspirations, and they focus attention on others rather than themselves. These internal resources then serve as guides to dictate how leaders lead others. Quinn (2004) for

example, describes leading with values as being internally directed, other-focused, externally open, and purpose-centered. His view is one where the leader turns towards others to transcend self-serving needs.

> In the fundamental state of leadership, we . . . become less externally directed and more internally directed. . . . We begin to transcend our own hypocrisy, closing the gap between who we think we are and who we think we should be. In this process of victory over self, we feel more integrity and we feel more whole. Our values and behavior are becoming more congruent. Our internal and external realities are becoming more aligned. . . . We also become less self-focused and more other-focused (p. 22).

Boyatzis and McKee's (2005) resonant leadership is consistent with Quinn's perspective: leaders who are "awake, aware, and attuned to themselves, to others, and to the world around them" are highly effective (p. 3). In fact, research has shown that empathy is positively related to perceived leadership; that is, leaders are thought to be more empathetic (Kellet et al., 2002). Resonant leaders are also mindful, seeking to "live in full consciousness of self, others, nature, and society," face challenges with hope, inspiring "clarity of vision, optimism," and "face sacrifice, difficulties, and challenges, as well as opportunities, with empathy and compassion for the people they lead and those they serve" (Boyatzis & McKee, 2005, p. 3). For Boyatzis and McKee, values-based leadership is built on both personal awareness and social awareness. The one impacts the other so the individual can better manage relationships.

A values-based leader first possesses a high degree of self-knowledge and social awareness. The leader has a deep understanding of his/her emotions, weaknesses, strengths, wants, needs and drives. Individuals more in tune with themselves have an attitude that is not too critical nor unrealistically confident, and tend to be honest with themselves and with other people. Awareness of strengths and weakness leads to effective planning and execution of goals because he or she knows how their own feelings will affect them and also how their feelings will affect other people. Moreover, a leader's self knowledge then enables him/her to work well with and manage others.

Values-based leadership is based on one's character and ability to foster and create positive social connections. Anyone, regardless of managerial position, can display values-based leadership because it manifests itself primarily in relationships and interactions between organization members. In particular, values-based leadership in extreme situations such as war or terrorism is focused on helping the unit and its members toward normalcy (Powley & Cameron, 2006). The psychological literature refers to these attributes as the character of the leader (Peterson & Seligman, 2004), and character can be defined as "the sum of the moral and mental qualities which distinguish an individual or a race; mental or moral constitution; moral qualities strongly developed or strikingly displayed" (Oxford English Dictionary, 2005, p. 128). The author is particularly interested in those characteristics strikingly and consistently displayed by values-based leaders in moments of extreme crisis. Bednar (2003) effectively describes leader behavior as:

> [The] capacity to recognize, and appropriately respond to other people who are experiencing the very challenge or adversity that is most immediately and forcefully pressing upon [the leader]. Character is revealed, for example, in the power to discern the suffering of other people when we ourselves are suffering . . . [and] is demonstrated by looking and reaching outward when the natural and instinctive response is to be self-absorbed and turn inward" (p. 2).

The author believes the behavior described by Bednar, Boyatzis, Quinn and others is consistent with how some effective military leaders operate under extremely stressful situations. Their behavior is a manifestation of their unique character. Due to the complexity and difficulty of fighting nontraditional warfare, training leaders involves an imperative based on values, especially when desired outcomes for leaders rest on relationship and coalition building, managing multiple fronts, and dealing with a high degree of uncertainty in the situational environment. Yackley (2006) notes, "The leader's character is a strategic source of power for infusing the culture of his/her organization with a code of ethics, moral vision, imagination, and courage" (p. 5).The Army War College Strategic Leadership Primer identifies that the strategic leader is, "The Values

Champion - the standard bearer beyond reproach"(p. 5). Thus, training for readiness involves not only training to specific situations, but also developing strong character and moral values.

U.S. military core values of loyalty, duty, respect, selfless service, honor, integrity and personal courage are examples of diverse methods used to create a Values Champion Leader. However, these methods are too broad and needs more specificity. The common procedures available to assist in leader development, such as developmental counseling, after action reviews, and performance reviews are beneficial components of the evaluation process, and these tools can provide valuable insight in relation to performance and mission accomplishment. Additionally, these tools can be helpful in assessing leader strengths and weaknesses, as well as planning for leader development. These approaches have proven relatively successful in developing senior leaders at the top brass levels, but this feedback does not necessarily provide a complete or accurate picture of their competencies, especially in extreme situations. A close review of how leadership as been defined and leaders have been evaluated has revealed a shift from leaders viewed as those who create meaning and purpose in the lives of others to those who are the stewards of economic performance (Podolny et al., 2005). Economic performance, however, does little for a person whose entire family has been lost in a flood or earthquake. A leader who understands the emotions of others and possesses genuine concern is required for the task.

B.   EMOTIONAL INTELLIGENCE CHARACTERISTICS

Emotional intelligence is an attribute that leaders in crisis situations must posses. Sometimes the smartest leader is not always the right one for the job. Emotional ineptitude can be costly and create problems for organization members. Measures of success in organizations based on economic performance are based on intellect and technical skill; however, studies suggest that emotional competence accounts for more of the difference between successful and unsuccessful leaders (Goleman, 2000). The author proposes that emotionally competent leaders perform above the rest in extreme situations.

In crisis situations, economic performance does little to provide comfort to those involved in an organizational crisis. In a crisis such as 9/11, people are not interested in the stock performance of the affected companies or the effects on 401Ks. Such a focus would seem absurd. Instead, in such instances, people are looking for meaning that can be found in connection with others, especially those who are important to us (e.g., family, close friends, etc.). Therefore, effective leaders in crisis must consciously work to make connections with, between, and among organizational members (Powley & Taylor, 2006). In other words, leadership in crisis is about leaders creating meaning and purpose for those involved by creating social connections, or bonds that transcend position or hierarchy and act as a mechanism to enable healing of organizational units affected by extreme crisis. Leaders who are effective in times of crisis draw upon a set of abilities they have developed, frequently called emotional competencies, as a means to create meaning through social connection in times of crisis.

C.   BEHAVIOR PRIOR TO CRISIS

The optimum avenue to identify which characteristics a leader will display in crisis situations is to analyze their behavior in pre-crisis mode because, as Smallwood and Seemann (2003) argue, leaders who excel in crisis situations seemed to exhibit certain qualities before the crisis situation arrives.

Literature demonstrates (Smallwood and Seemann, 2003) that there are certain characteristics particularly important in times of crisis. For example, leaders who do not develop close and strong loyalty among their workers are more vulnerable to fail than those who do. Additionally, the leaders must be fair and reliable.

Other leader characteristics are particularly important in crises as well. For example, good leaders need to welcome problems but not place blame on others. A strong crisis leader understands that in order to cultivate a culture of respect and fairness an open door discussion policy is paramount.

## D.	ATTITUDES AND TRAITS

The following paragraphs discuss the attitudes and traits exhibited by successful leaders according to Smallwood et al. (2003). A variety of characteristics leaders possess are discussed such as the leaders' ability to ask for help, making decisions based on facts, stepping up and doing their duty, complaining less and acting decisively.

"They have the courage to ask for help." (Smallwood et al., p. 1) A person who knows everything does not need ambassadors and this type of behavior is unappreciated and cause subordinates to lose faith in their leader. "They make debates and decisions based on facts, but they also take intuitions seriously." (Smallwood et al., p. 1) Intuition is compressed experience (Smallwood et al., p. 1) and in a crisis situation when information is in short supply, your bottom dollar can be on intuition. "They never spin to their people." (Smallwood et al., p. 1) A leader is human so to assume he or she never complains would be unrealistic. However, the amount of complaining and the ears the complaints fall upon can present a problem. Complaining aloud should also be limited because employees can begin to display the trend as well.

"They step up and do their duty acting with dignity and honor." (Smallwood et al., p. 1) In order to instill greatness and loyalty in your people, you must conduct yourself with dignity and honor. These qualities will outlast any crisis and will persevere in the minds of your people when other crises arise. "They let their humanity show by being open and visible." (Smallwood et al., p. 1) Nervousness is a sister to crisis situations. In a crisis situation where the outcome is uncertain, if the leader is not transparent, this could be detrimental for his or her people. The best leaders make it known that he or she is still human and makes mistakes but they are confident throughout the process.

"They act decisively, keep a perspective, and put things in context." (Smallwood et al., p. 1) Successful leaders of crisis situations try to instill in their people the motivation to stick it out until the crisis is over. They propel their people forward while the world is screaming to them "bail." These leaders do not dwell on the unchanging past; they thrive for the short-term future and put things in context to silence the nerves of their

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people. "They are realistic." (Smallwood et al., p. 1) Confidence in the face of crisis is good unless the leader is over delightful while everyone else knows the situation is useless. Confidence will surely be lost in this leader and he or she can become the object of mockery. "They go into the lion's den." (Smallwood et al., p. 1) Successful leaders meet their opponent or accusers eye to eye. These leaders maintain calm and take the hard questions with dignity, and they do not become defensive and they stick to the facts. They admit their mistakes and are confident about the future.

As with the airline industry examples, if good leadership qualities are lacking, a business could suffer. The next section analyzes several vignettes from the military to bring to light key competencies for extreme situations and concludes by presenting one approach to identifying and examining effective leadership competencies in extreme events. The vignettes of extreme crisis situations are based on military officer's first-hand experience from the past five years during the global war on terrorism. From these vignettes, certain characteristics, vital for effective leadership characteristics during a crisis, are suggested. These propositions highlight the characteristics that values-based leaders demonstrate when unexpectedly leading first-hand in extreme contexts. Based on the vignettes of extremes situations, these characteristics are critical to leading through crisis and enabling the healing of social relationships.

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III. METHOD

A. PARTICIPANTS

It was decided to pool military officers because they have worked with a variety of "managers" (or leaders), subordinates, teams, and organizations. They also had significant experience driving or navigating ships, managing large numbers of people and supplies, overseeing million dollar projects and equipment. These variations of exposure to multiple global contexts give these subjects a rich database of experience that enables them to make sense of organizational life.

A total of ten vignettes were collected and the participants have an average of 11 years of service and worked in a variety of fields and places. They collectively served in places such as Iraq, Southeast Asia, the Pacific, and Afghanistan. The group ranged from junior officers to midgrade officers and their ages ranged from 26 to 40. With this mix of candidates, a wide view of leadership qualities was analyzed as all the candidates brought unique aspects to the leadership arena. Table 1 displays the participants with their length of service and current rank.

Table 1.   Seniority of Military Members

Service Length(yrs)	Rank Current
20	LCDR (O-4)
14	LCDR (O-4)
12	Major (O-4)
11	Major (O-4)
10	Major (O-4)
15	LT (O-3)
7	CPT (0-3)
6	CPT (0-3)
5	LT (O-3)
10	ENS (0-1)

Drawing from their subject's experiences, they were asked to think about an incident in which they were involved or close to an unexpected emergency situation where there was significant disruption to work routines and/or possibly loss of life; an experience where they felt overwhelmed. They worked alongside others to repair relationships and the organizational unit. The situation had to be of sufficient magnitude and extremity to equate to a life and death situation. Table 2 provides a summary of the subject's rank and age at the time of the incident and the place of incident occurrence.

Table 2.   Rank, Age and Incident Occurrence Location

Rank Incident	Place Incident	Age Range
Captain	Iraq	31-35
ENS	Southeast Asia	26-30
LT (O-3)	Pacific (near Hawaii)	41-45
Petty Officer 3rd class (E-4)	Arabian Gulf	36-40
LCDR (O-4)	at sea (ship)	36-40
Major (0-3)	in field	31-35
LT (O-3)	in port ship	31-35
CPT (0-3)	Afghanistan	26-30
CPT (0-3)	in field	26-30
Captain (O-2)	in field	31-35

B.   MATERIALS

This project draws from archival data obtained through a classroom assignment where military leaders prepared a short vignette describing the actions taken in an extreme situation.

C.   PROCEDURE

The research analysis process evolved over several steps and a spreadsheet was created to list the actions and common themes sought out. The common themes discovered provided insight into the type of characteristic behavior exhibited. Since this project is an in-depth analysis to develop important insights of leader behaviors during extreme crisis situations, it is appropriate to use a small sample size. Furthermore, in-depth analyses of experiences are especially useful when examining little-known subject matter (Boyatzis & McKee, 2005; Quinn, 2004). Thematic analysis was used to compare and contrast responses and views across the different stories. Thematic analysis is a systematic method used to identify themes and/or patterns among the interviewed personnel. Subsequently, thematic analysis provides the framework for comparison between the cases as discussed above (Boyatzis, R. E., 1998). In order to understand the characteristics, the author's approach was to review the applicable literature on emotional intelligence and good leadership characteristics; obtain the basic definition of each characteristic from the dictionary; and asks questions about how each action in the vignette illustrates the leadership characteristic. For example: How does this action relate to empathy? Is this action more vigilance or defiance? Thus, a definition of each characteristic was implemented for consistency of terms.

The Appendix contains a snapshot of the actions taken by each leader, the category in which the actions were grouped, the vignette, and the line reference in the vignette in a table format for simplicity.

The actions were used to form the common themes and to group the commonalities together. The levels of validity for the dataset are increased because the experience of those participating did not occur very long after the actual incidents (Motowidlo, Stephen J., et al., 1992). The vignettes are coded independently; thus, the absence of another coder was a limitation of the research.

A thorough literature review was conducted utilizing books, magazines articles and other library resources for material on leadership in extreme circumstances and qualitative research methodologies. The research began with nine vignettes and each vignette was analyzed to identify specific actions and abilities as well as emotional responses characteristic of individuals working through crisis events. The analysis was done in four steps and the following data was compiled:

- The vignettes were thoroughly read.

- The vignettes were coded for actions. The actions were reflected in action verbs or actions taken by the main protagonist in the vignette. For example: *He regained his composure* would be an action taken out of a specific vignette.

- Actions were categorized, keeping those observed in subordinates separate from those of leaders. The categories represent common themes or main groups or types of actions. One or two key or representative examples were provided for each category. For example, consider the self-control characteristic:

    self control   Kept quiet
                       Regained his composure
                       I could not let my emotions overcome my
                       responsibilities, which, at times, was a difficult thing
                       to control

The category and actions are reflected in spreadsheet format.

- The categories were then analyzed and commonalities found to ascertain which characteristics were more prevalent than others. This evidence was used to draw a conclusion about the characteristics truly exhibited and related to emotional intelligence. For example, the trait of realism was prevalent in all of the vignettes while being grateful occurred in limited circumstances.

IV.   PRESENTATION OF DATA

The analysis of the vignettes revealed several themes relating to the central question of this project: what behaviors do leaders in extreme crisis demonstrate? The following analysis shows what themes were defined as well as the actions associated with each leader and the location of the actions in each specific vignette. The themes discussed are self control, optimism, realism, vision, vigilance, awareness, selfless devotion, empathy and personal responsibility.

A.   SELF CONTROL

The first theme, self-control, describes how leaders in difficult situations exhibit control of emotions and the situation in a poised manner. Self-control, according to the Oxford English dictionary (2005), involves restraining ones action, thoughts, or behavior through sheer will power. According to the respondents, it was found that leaders in extreme situations exhibit this quality, often neglecting self as they focus on mission accomplishment. Thus, leaders use their will power to control self-inhibitions and maintain composure during extreme events. Consider the following excerpt from vignette 1-002, when a junior officer took the initiative to oversee the Iraqi elections and his self control enabled the process to continue successfully when failure seemed imminent:

> Bob made quite a scene reminding the junior officer (main protagonist) that he outranked him and that he was in charge. The junior officer kept quiet and led him into the hallway outside of the room, and escorted him out of the area... When he led Bob into the hallway, he told Bob that he would not tolerate the disrespect he showed the host country official. After a moment of silence, Bob conceded and told the junior officer that he had no idea what to do. (1-002; line 22)

In this excerpt, the junior officer exhibits self control as he held his peace and led the higher ranking officer outside for discussion. The junior officer did not make a scene in the meeting area and once outside he scolded the higher ranking officer about his behavior. Ultimately, the junior officer was able to uncover the real problem, which was that Bob (senior officer) did not have a clue about how to conduct the election operations.

Another example of self-control was exhibited by an officer overseeing funeral arrangements for soldiers who gave the ultimate sacrifice. This assignment was very challenging as he dealt with the families of the deceased on a daily basis. He insisted:

> I think they saw that I was having a rough time as well, which showed them that it was okay to grieve. I also knew that there was a line that had to be drawn. I could not let my emotions overcome my responsibilities, which, at times, was a difficult thing to control. I cared so much for all these people who were affected by this that I found it very easy to work longer hours. (1-013; line 182)

In this excerpt, self-control is exhibited as the officer admitted to keeping his emotions in check so they will not interfere with his duties, yet he did not conceal them and therefore enabled him to be more authentic to those he served. Dealing with situations involving death take an emotional toll on all involved, but this officer's self-control guided him throughout the process. The officer understood that if he "lost it", this would only increase the burden on the fallen soldier's loved ones. Optimism is also a quality exhibited by leaders repeatedly as is explored below.

B.   OPTIMISM

The second theme, optimism, describes how leaders in difficult situations exhibit a positive outlook when their environment predicts failure. Optimism reflects a mindset that requires leaders to seek avenues constantly to improve the current situation. Optimists view a glass half full vice half empty (Oxford English Dictionary, 2005) and this is the view leaders must use in extreme environments. In the same vignette as above, the junior officer realized the Iraqi elections were in jeopardy when the senior officer "Bob" yelled at an Iraqi official to get out of his chair. Seeing the situation spiraling out of control, the junior officer did the following:

> After being insulted the Iraqi official proceeded to leave the room. As if to block the door, he [the junior officer] started reminding everyone of the gravity of the situation. He tried to be optimistic and impart a winning attitude by telling them they were going to succeed despite the circumstances. He begged the Governances (Iraqi officials) for their

forgiveness of his colleague and promised they would be recognized as saving the elections .After some hesitation everyone agreed to sit back at the table. (1-002; line 43)

The junior officer maintained a positive outlook on the situation even though his "boss" almost destroyed the elections with his rudeness. The junior officer's optimism got the Iraqi officials back to the table and the elections were a success.

Another officer displayed optimism when he was assigned a senior enlisted person with a terrible work ethic. The senior enlisted personnel had a reputation for abandoning his post and exhibiting poor leadership skills. Consider the excerpt from vignette 012:

> SSGT came to us with a poor battalion-wide reputation for abandoning his guard post, the battalion's first-line defense against enemy attack, during gunfire. In terms of performing my duties as a young 1LT, I was confident that I could handle what I thought might be a misunderstood individual. From my experience with him, I learned that SSGT did not lack guidance whatsoever; he simply had morals and beliefs inconsistent with those of the rest of the unit. (1-012 line 19)

The officer displayed optimism by giving the underperforming Staff Sergeant a chance to prove himself, regardless of his past experiences. It was clear before the individual reported to the command that he was known for abandoning his posts, but the officer was optimistic that he could handle the Staff Sergeant and got to the root of the problem, which were morals not guidance.

In another example of optimism, an officer getting his troops ready for a special envoy trip, realized that his chances for getting attacked by Insurgents was highly probable; however, he still viewed the situation through optimistic lens:

> I ensured personally that we had enough room for the human cargo which included 2 finance Soldiers with $250,000 to pay out to Soldiers for various reasons. With the right people in place, the proper loads, trucks and drivers standing by and a comprehensive tactical plan that everyone understood, we were ready to roll. (1-011; line 35)

This officer is optimistic that his plan will succeed because he has properly planned to have the sufficient equipment and personnel necessary to complete his arduous task. Preparedness facilitates optimism and confidence. This officers displays both as he insists, "we were ready to roll." Realism is the next topic under discussion as it was more prevalent in the vignettes than optimism.

C.   REALISM

The third theme, realism, describes how leaders in difficult circumstances maintain a true and clear perspective of the situation. It requires speaking the truth when many would prefer niceties. Leaders accurately assess the situation and its various dynamics. This is more than awareness; it is action or enlightenment based on a realistic perspective. In a previously mentioned vignette, an officer discussed challenges he faced during an evaluation process of a senior enlisted personnel who was not performing his duties sufficiently. The officer had to counsel the under performing soldier; however, the officer was weak in the punitive counseling area. He stated:

> In my tenure with SSGT, I had to issue a "Cause for Relief" counseling statement after a series of violations that had potential to get soldiers killed. At the time, I was not well-versed in punitive actions (a formal counseling chit); especially those against an NCO (a non commissioned officer-the SSGT). Three separate incidents, in addition to his original "abandoning post" issue, brought us up to the point of counseling. (1-012; line 25)

The officer in the above excerpt exhibited realism when he admitted to being weak in writing punitive counseling chits. He sought out help in writing the chit and was able to get that SSGT removed from service. The officer understood his weakness and made provisions for it.

In another vignette, an officer was shocked when he found out that he was assigned a group of noncommissioned officers who were historically poor performers. The officer was acclimated to working with the best of the best in Iraq but now since he was not deployed he was working with poor performers. He said the following:

I would be the battalion's Rear Detachment Commander for the duration of the deployment (12+ months). I would have a cadre of Noncommissioned Officers assigned to me, but I knew they would not be the stellar performers I was used to working with…those guys (stellar performers) were needed in Iraq.(1-013; line 13)

The Commander was real to himself when he admitted that the group of Noncommissioned Officers given to him was weak. That realistic assessment gave him the ability to take control of the situation and make provisions for their weaknesses by continuously conducting training sessions about their specific duties so that his team knew exactly what was expected of them.

In another instance of realism, a naval officer admitted his level of knowledge deficiency almost caused damage to expensive equipment and potentially loss of life:

However, my inexperience in understanding the job and supervising the enlisted personnel that day almost had dire consequences and could have killed anyone on deck and damaged the ship to the point where she would have been taken out of service for major, costly repairs. (1-010; line 6)

The officer understood his inexperience almost damaged expensive equipment and destroyed lives. This is not an easy statement to admit, but it is important to be real with the bad news, as well as, the good news. Being real and open is a must for leaders to excel in any situation. Leaders involved in a crisis situation must have vision. They must inspire the troops or subordinates who are looking to them for all the answers. How can this be done without proper vision? Vision is the driving force behind the leader. Without vision, a leader cannot see his or her way.

D.   VISION

Vision allows the leader to understand clearly what needs to be done, when it should be done, and why the task is important. He or she is motivated toward their vision and push the troops to believe in the vision as well. In the next excerpt, a junior officer in charge of elections for a new province demonstrated his vision in the following excerpt:

The junior officer felt that most details were in order despite the situational challenges. He quickly became the leader of the elections planning group and held daily meetings to track the progress of the plan and resolve any issues that popped up. (1-002; line 8)

This junior officer possessed the vision to realize that issues would pop up and they needed resolution quickly. Before the election process was over, there were definitely issues that occurred, but the system set up by the visionary leader enabled the voting process to continue and true assessments undertaken.

Another example of visionary leadership comes from an officer who has just learned that the route to complete his tasking was heavily infested with insurgents. The officer quickly formulated a plan for the new information given, the following excerpt explains:

This was a welcomed addition of manpower and firepower but an ominous one as well. That night I informed the XXX Troop 1st Sergeant and 1LT XXX of the change in plans and formulated a scheme of maneuver and fire support plan for the movement north (1-011; line 21)

The officer understood that the change in plans caused him to revisit his initial plans and adjust accordingly. He possessed the vision to formulate a new plan and also to incorporate the 1st Sergeant into the change of plans as well. In addition to vision, leaders must also possess vigilance. The simple analogy of a football team can describe vision and vigilance. Vision can be viewed as the quarterback that oversees all operations on the field and vigilance can be viewed as the full back taking the vision from the quarterback, powering through resistance to reach the goal line for the score.

E.   VIGILANCE

Vigilance is described as the ability to act doggedly to accomplish a certain mission. Leaders that possess this trait has the ability to focus or give due attention to a situation and sustain it over time. After September 11, 2001, vigilance was used as a way to speak up when something suspicious occurred, to be careful of who you trust or to call an official if something did not feel right. In the following excerpt, vigilance is shown as a junior officer confronts a senior officer about his responsibilities:

When he led Bob into the hallway, he told Bob that he would not tolerate the disrespect he showed the Iraqi official. The junior officer went on to say that he did not appreciate him becoming interested in the mission at the last minute. (1-002; line 34)

The junior officer displayed vigilance by standing up to the senior officer and speaking very frank yet honest to him. He stood his ground when the senior officer tried to pull rank. Another example of vigilance occurred as an officer led his patrol after a surprise attack by insurgents. After he received assistance from a 2000-pound bomb, he remained vigilant and sought avenues to improve the chances of success:

I needed to suppress the fire and ensure my separate element was no longer in contact. The enemy was suppressed with a 2000 pound bomb. As the fire burned my patrol stayed vigilant and scanned the ridgelines. (1-011; line 79)

Vigilance is displayed as the patrol stayed focused on the mission instead of abandoning their posts when smoke, fire, and chaos surrounded them. This team constantly sought out ways to improve their situation by scanning the ridgelines. Senior leadership can be persuaded by acts of vigilance by junior personnel. In the next excerpt, the junior officer engaged in vigilance with his chain of command concerning an underperforming non-commissioned officer:

Unfortunately, I had to argue with my chain of command and convince them that punitive action against the NCO needed to occur, because everyone in the unit was aware of the incidents that had previously occurred and watch intently as to how the battery leadership would respond. (1-012; line 95)

The officer worked with the NCO daily, and he understood punitive action needed to occur; however, his chain of command did not understand his view. Therefore, he argued to get his point across. He did not give up on what he believed. He was vigilant. In addition to vigilance, an officer must also possess a keen sense of awareness.

F.   AWARENESS

Leaders who possess awareness are completely in tune with their surroundings and make decisions after some internal processing. An aware leader understands his or

her limitations and the emotional currents of the people being led. In the following excerpt, an officer is aware of the fact that he must understand the noncommissioned officer's duties in addition to his own:

> My right hand man throughout the deployment would be Staff Sergeant (SSGT) XXX XXXX. He had to know my job and I had to know his. We needed to be able to assume the role of the other at any time in case one of us became ill or was not available. He was not the strongest NCO in the Army, but he was a great learner and we became very close over the deployment.(1-013; line 24)

The officer was aware of the fact that he and his NCO had to know each other's jobs. He understood the limitations of the NCO and was able to train him and get him up to speed on knowing his job. They formed a great relationship and when a crisis situation arose, it was handled efficiently. A good leader must be aware of the type of people they aree leading. If leaders have deceitful subordinates, the mission could be jeopardized. In the following excerpt, the officer deals with a deceitful subordinate:

> One of the things that I learned by closely watching his performance was that he was trying too hard to do right or make a good impression instead of focusing on his function within the unit. He would say the right things to superiors, yet his actions did not reflect his words. (1-012; line 82)

The officer was aware of the deceitful ways of his subordinate. He realized the subordinate was a "talker" not a "walker," because of this awareness, the subordinate is less likely to "pull the wool" over the officer's eyes. In another example of awareness, an officer on patrol delegated his first sergeant to become his "double checker."

> With all the right pieces in place from a tactical standpoint and the 1SG traveling with us to be my "double-checker" I shifted my attention momentarily to the reason for the mission and that was the critical supplies for Camp XXX. (1-011; line 29)

The officer realized a plan was required to catch mistakes or at least lessen the repercussions when they occurred. Due to his awareness, the "double checker" saved the unit in lives and in lost equipment. Good leaders place themselves last and their people first and this type of behavior is indicative of selfless devotion.

G. SELFLESS DEVOTION

Selfless devotion leaders focus on others, have few complaints, and abundant gratefulness. In the following vignette, an officer and his crew are sent on a mission to rescue tsunami victims. Before coming into the area, the crew performed poorly on past examinations and training repetitions but after the encounter with the tsunami victims, the crew exhibited selfless devotion:

> All of a sudden, the crisis became real in their minds: 275,000 dead was no longer a number reported on CNN—it was a number representing real people. In those few minutes, every prior struggle and every personal complaint became trivial. They felt no desire to complain about career goals, cold leftovers, or nineteen-hour days when 275,000 people were dead. They soon realized that thousands more citizens of Sumatra depended on them.(1-013; line 18)

The ship displayed selfless devotion when her crew began to focus on the citizens of Sumatra vice themselves. Selfless devotion caused the crew to stop complaining about career goals, personal struggles, cold leftovers and to become thankful for what they had. In another example of selfless devotion, an officer is not pleased with his assignment to stay behind to perform administrative duties instead of being deployed to the front lines, and the following excerpt highlights the event:

> My initial reaction was "Why me?" I was not happy with the decision but he was pretty steadfast and I decided it would be futile to fight it…We were a tighter team. (1-013; line 15)

The officer displayed selfless devotion when he decided not to fight the orders and put the "stay behind" team over himself. He could have tried to fight the decision all the way, but he realized the team needed him. As a result, the team emerged stronger and tighter.

H.   EMPATHY

Empathy is being in tune to another person's emotional well-being or understanding and relating with the person undergoing the experience. According to the respondents, empathy is a key characteristic employed by leaders. Leaders with empathy tend to put on the shoes of their bosses and subordinates. This empathy makes the situation very real to the leader because he or she also feels the burden.

Empathy makes the concern of one become the concern for all. Empathy was demonstrated in one story in which a member of the crew choked while eating in the mess hall and his friends came to the rescue:

> Two co-workers who had been sitting next to him tried to elicit a response but to no avail. Those present knew something was wrong when his body turned rigid and his face took on a purple tinge. A front line supervisor rushed over to the non-responsive sailor, assessed the situation and proceeded with CPR. One of the personnel called the Medical Department while another raced to the doctor's offices and a third went to the adjoining work space of another department for assistance. (1-006; line 5, 7, 8)

Empathy is shown as the shipmates rushed to the fallen sailor's aide. The Medical officer was contacted immediately as the shipmates knew the situation required immediate support. In another vignette, an officer empathized with a failing senior enlisted personnel as he put in extra efforts to help him become successful:

> Naturally, my Platoon Sergeant and I worked with this individual in an attempt to improve his performance and prevent him from not succeeding for the rest of his time with the unit. Despite the problems, we accepted that he was one of our soldiers and wanted him and the platoon to succeed. We realized that this individual required additional attention. (1-012; line 76, 78)

Empathy is displayed by the officer as he realized the individual required additional attention. He had given the soldier another chance to improve his performance. He "felt" what the soldier was going through. One officer showed empathy during his role of being in charge of funeral arrangements. He dealt with the grieving families and placed himself in their shoes:

I made a commitment to them that I would be available to them 24 hours a day and would keep them abreast of any unclassified information as soon as I possibly could after I received it. I had earned the trust of these families and began to enjoy working with them.(1-013; line 72)

The officer displayed empathy by making a commitment to keep the families abreast 24 hours a day with recent events. He understood that they needed quick and sensitive information in a hurry, when their loved ones were affected. He had also earned their trust and did not want to let them down. The officer made the soldier's loved ones his personal responsibility, which is an important characteristic discussed below.

I.   PERSONAL RESPONSIBILITY

Personal responsibility requires leaders to be accountable for their own actions and the actions of subordinates. It does not mean becoming a victim and placing blame, but rather realizing that your success or failure to accomplish a certain mission is completely dependent upon you. The battle for personal responsibility begins in the mind, and it is championed or defeated there. After this battle is won in the mind, then the battle shifts to acceptance; accepting that you choose the direction to proceed, accepting the blame if the consequences are not as planned, and accepting criticism along the way. In the following vignette, an officer exposes his distrust for Iraqi civilians as they were placed under his command. Until he grew to trust them, he instituted protection features to cover the rest of the unit:

The jingle trucks would follow our patrol closely and we would slow our movement if they dropped back too far. I made the decision to place the civilian trucks in the rear for two reasons. One was that I could not trust the local drivers and if they decided to stop in a "kill zone" on purpose there would be no way around them due to the narrow road and restrictive terrain, (1-011; line 40)

The officer displayed personal responsibility by not fully trusting the Iraqi civilians to have his "back." He did not want to risk his entire platoon on individuals whose loyalty was questionable. He placed his platoon in an optimal position just in case one of the civilians would turn on them.

In another situation, an officer takes personal responsibility in trying to help a failing senior enlisted individual succeed:

> I guided this individual by giving him daily tasks and requiring that he report back to me on the completion or status of each item at the end of each working day. If the reason for an incomplete task was not viable, I forced him to complete the task during his personal time. The point I was trying to teach him was that he needed to do all tasks to standard and meet specific time requirements. (1-012; line 86)

The officer showed personal responsibility by giving this individual one-on-one attention. This was a severe hindrance to the officer, but he believed in this individual and wanted him to succeed. The vignettes displayed showed leaders exhibiting self control, optimism, realism, vision, vigilance, awareness, selfless devotion, empathy and personal responsibility. The author believes these characteristics are very important for the development of present and future leaders.

The leaders in the vignettes brought their organizations together and were able to put people and the mission before themselves. They exhibited a positive outlook when their environment predicted failure and maintained a true and clear perspective of their particular situation. They also were in tune with their surroundings and made decisions after some internal processing. However, the characteristic most evident in all the leaders was empathy. This trait is very important as it brings issues to "life" for all parties involved. Leaders seem to almost automatically possess this trait as it appears in all the stories. The characteristics shown in the stories are great tools for any leader who is surrounded by environments of significant upheaval and disarray.

V.   DISCUSSION AND CONCLUSION

The need for crisis leadership, due to the acute threats faced, is ever present in today's world; it is one in which natural and human caused tragedies disrupt organizations and ways of life. A variety of terrorist attacks can create more turmoil and, if this country is unprepared, Americans will suffer. The Hurricane Katrina disaster and the travel industry post September 11 demonstrate how billions of dollars may be wasted if leaders are trained erroneously. In the case of Katrina, a report card was issued a year after the September 11 attacks detailing the progress required in key areas, but the national and local officials of this country still did not implement proper measures and failed the citizens of the Gulf Coast. The cost of being unprepared for the Hurricane Katrina event has been estimated to be over $150 billion. (Caldwell, 2006)

The need to develop leaders with the proper competencies and abilities to manage in extreme situations is important for future readiness. Leaders must not rely on their title alone, but instead on their greatest advantage: inspiring people. The themes derived from the military vignettes presented in Chapter IV highlight actions and behaviors that good leaders demonstrated. The themes illustrated by this project point to leader behaviors rooted in values-based leadership (Powley & Taylor. 2006) and emotional intelligence competencies.

A.   EMOTIONAL INTELLIGENCE COMPETENCIES

This section relates the findings in the vignettes to emotional intelligence competencies. Emotional intelligence is an attribute that leaders in crisis situations must possess and sometimes the smartest leader is not always the right one for the job. One way that leaders create connection is by drawing upon self resources as a means of fostering an awareness towards others. Awareness enables flexibility in handling change and some behaviors include:

- Openness to new ideas: demonstrates willingness to change ideas or perceptions based on new information

- Awareness to situations: readily alters procedures or approach as given situations deems necessary

- Handles unexpected demands: adeptly responds to or incorporates unexpected demands

- Awareness to strategy: changes overall plans or goals to address changes in circumstances

One illustration from the data of this claim is demonstrated by the awareness evident in the vignette 1-013: *He had to know my job and I had to know his. We needed to be able to assume the role of the other at any time.* The officer was aware of the fact that he must understand the noncommissioned officer's duties in addition to his.

Leaders demonstrate emotional self-control when tensions are high and loss of control is imminent in a crisis. Emotional self-control is defined as keeping disruptive emotions and impulses in check and these leaders tend to exhibit the following behaviors:

- Shows restraint: restrains strong emotions

- Has patience: remains patient despite frustrations or provocations

- Responds calmly: responds calmly to others even when under pressure

- Stays composed and positive: maintains composure and self-confidence in a tough or challenging situation

This proposition is substantiated as well in vignette 1-013*: I also knew that there was a line that had to be drawn. I could not let my emotions overcome my responsibilities, which, at times, was a difficult thing to control*. The officer kept his emotions in check in order to accomplish the mission.

Leaders inspire others to action and help them gain sense of hope and vision in the crumbling situation. Inspirational leadership can be defined as inspiring and guiding individuals and groups. The behaviors exhibited are:

- Leads by example: sets a good example by modeling desired behavior

- Stimulates enthusiasm: acts to build team spirit in order to promote the effectiveness of the group

- Inspires others: takes action to ensure that others buy into their mission, goals, or agenda

- Communicates a compelling vision: generates excitement, enthusiasm, and commitment to the group mission

Leaders are attuned to others. They have empathy for others who may be suffering or severely affected by the crisis. Empathy involves sensing others' feelings and perspectives, and taking an active interest in their concerns. Some behaviors include:

- Listens: actively listens to others

- Reads nonverbal cues: is able to read body language and other nonverbal cues to better understand the emotion of others

- Open to diversity: displays sensitivity and openness to people different from oneself

Empathy was substantiated more than any other characteristic in the stories, in vignette 1-012: *We realized that this individual required additional attention*. The officer here possessed the empathy to give a failing noncommissioned officer more of his time. According to Sandbek:

> Empathy is the capacity for reading another person's emotional state. Since the brain is trainable throughout life, we are encouraged that we can learn to be more empathic…We can learn and teach others to be more empathetic by "putting on the other persons shoes." (2006)

Optimism was demonstrated more than six times in the stories. Optimism is defined as persistence in pursuing goals despite obstacles and set backs. Behaviors demonstrating optimism are:

- Positive expectations: expects positive results from self and others

- Is optimistic about the future: demonstrates confidence and a sense of control over the future

- Is resilient: is able to bounce back from setbacks

- Learns from setbacks: analyzes setbacks to learn from them

In vignette 1-012, optimism is exhibited in the following: *He tried to be optimistic and impart a winning attitude by telling them they were going to succeed despite the circumstances*. An optimistic leader saved the elections in the Middle East.

This research has shed light on other competencies that are great tools for leaders to have in a crisis situation such as: realism, selfless devotion, and vigilance. Each of these characteristics appeared numerous times throughout the stories. They are invaluable to any leader's arsenal.

B.   SELF REFLECTION

The headlines on CNN were clear, "Submarine Captain Relieved of Duty." The submarine was the USS XX and the captain was relieved due to a "lack of confidence" by his superiors. The writing was on the wall. The author was a part of this crew and witnessed first hand the leadership exhibited on board. Captain XX did not possess empathy as he would leave the boat for weeks as soon as she docked after short excursions. The rest of the crew worked hard but he felt he should not have to because he was in charge.

Captain XX was not an inspirational leader. He rarely took the time to inquire about the sailor's families and did not know the wife's name of the author who was a member of the wardroom. He was not optimistic and one of his sayings was "if you're not cheating, you're not trying" which repulsed the wardroom officers as he disciplined members of the crew for getting caught cheating on exams. He had a double standard: he said one thing but clearly did the opposite. The author speculates that this captain was not trained in emotional intelligence competencies; subsequently, a fast attack submarine and her crew were thrust in a wave of embarrassment and criticism when gun-decking maintenance records and cheating on departmental exams were exposed by an outside agency.

C.   PRACTICAL IMPLICATIONS

Leaders must begin now to hone in on their weaknesses and strengths. Leaders must conduct a self-assessment and an organizational assessment (Gaufin, 2006). They must possess the vision to guide their organizations through a calamity and determine its effectiveness. It is possible to learn from September 11, as Mayor Guiliani did, by leading with care, responsiveness, openness, dignity, appreciation and respect. He

possessed the ability to show genuine concern for others, as well as display necessary control and use power as required. Emotional Intelligence requires a leader to balance their emotions with their thinking (Gaufin, 2006) and the ability to recognize the impact of crisis on others and themselves. Lastly, when there is lack of information to make an informed decision, a leader must possess the personal responsibility to act because a wrong that generates action is preferred to no response at all.

This research revealed leaders in extreme contexts exhibiting selfless devotion, empathy, vision, optimism and they are realistic. The data from this project suggests that good leaders will take a stand for what they believe. As in the case of vignette 1-002, the junior officer stood up against a higher-ranking officer to keep the election process ongoing. The junior officer possessed the courage to do what was right without being concerned about his own upward mobility. This research has inspired new convictions in the author, and it has raised issues and questions about his own character. A question that he confronts is: Will I possess the courage to do what this junior officer did to save the mission? Or will I succumb to giving in and letting my wits leave me? Another practical implication of this research is not only the questions it raises within him but questions are likely to be raised in others as well.

The officers in the vignettes possessed good intuition as well. Intuition is derived from experience and the lack of intuition can cause one to act hastily without considering other options. The author performed many self-evaluations while conducting this research, and is sure that without engaging in self evaluation, he could fail in future work capacities. Learning to build on the weak areas is paramount for a good leader. He noticed that in the vignettes, the successful leaders were constantly engaged in self-evaluations. They strategically covered themselves by acquiring help in their weak areas.

Leaders should also be empathetic with their superiors and subordinates. This research showed that subordinates are more dedicated to the empathetic leader. This makes the leader more of a person vice a figurehead. In 1994, when the author enlisted in the Navy, he often wondered if the officers in charge ever openly admitted to missing their families while at sea. He was pleased when his executive officer informed him he

missed his family and it was very challenging to leave them. This made the executive officer a human with feelings and not just a figurehead that pressed on with the mission first and everything else second.

D.   CONCLUSION

People desire and need inspiration. They need leaders who are competent in work but who also balance the needs of the crew with the mission. This project highlights the emotional intelligence competencies vital for a leader to lead. The data exhibited support this idea. It was demonstrated that leaders in crisis demonstrate at least five emotional competencies, which allow them to create an environment indicative of success and purpose for others involved. In a crisis situation, these competencies will enable leaders to lead in a values-based manner. Self-control, optimism, vision, realism, empathy, personal responsibility, awareness, and selfless devotion are essential for leadership in crisis. However, more rigorous analysis must be performed using external codes that are beyond the scope of this project.

APPENDIX.

Self control

CATEGORY GROUPINGS	ACTIONS	VIGNETTE	LINE REF
self control	Kept quiet	1-002	22
	Regained his composure	1-002	40

Optimism

CATEGORY GROUPINGS	ACTIONS	VIGNETTE	LINE REF
Optimism	Improved morale	1-004	24
	Operating more efficiently	1-004	25
	Improved morale	1-004	24
	Everyone understood we were ready to roll.	1-011	35
	Operating more efficiently	1-004	25
	I was confident that I could handle it	1-012	19

Realistic

CATEGORY GROUPINGS	ACTIONS	VIGNETTE	LINE REF
realistic	I was not well-versed in punitive actions	1-012	25
	Held daily meetings	1-002	8
	Told senior personnel not to disrespect	1-002	34
	Reminded all the gravity of situation	1-002	42
	We truly did not resolve this issue until this individual left the unit	1-012	92
	Did not know how to handle	1-010	53
	Inexperienced Ensign	1-010	2
	I could not trust the local drivers	1-011	41
	we could not advance till the truck burned to the ground and I could not communicate with higher headquarters	1-011	68
	I needed to suppress the fire and ensure my separate element was no longer in contact.	1-011	77
	I believe the uppermost thought in the battery leaders' minds, particularly the section, was the concern of his inability to be a leader in a combat zone	1-012	41
	SSG Y was living up to his reputation	1-012	54
	SSG X was extremely competent and confident, and he performed his job with the highest level of professionalism. He maintained a proficient and consistent XXXX section during our tenure together	1-012	10
	Taking no action or failing to recognize the issue at hand was not an option	1-012	98
	I knew they would not be the stellar performers I was used to working with	1-013	13
	He was not the strongest NCO in the Army, but he was a great learner and we became very close over the deployment	1-013	26
	The one thing we could not simulate, however, was the emotional side of losing a comrade in combat and the effect this would have on the families.	1-013	46
	I could not let my emotions overcome my responsibilities, which, at times, was a difficult thing to control	1-013	182

Vision

CATEGORY GROUPINGS	ACTIONS	VIGNETTE	LINE REF
vision	Said going to succeed regardless	1-002	42
	Held daily meetings	1-002	8
	Persuaded Iraqis to stay	1-002	48
	informed the XXX Troop 1st Sergeant and 1LT XXX of the change in plans	1-011	20
	formulated a scheme of maneuver and fire support plan	1-011	21
	I pushed 1SG and an element of three trucks forward	1-011	46
	I had my FO get on the radio with the B1 Bomber as my forward element was still in contact.	1-011	71

Awareness

CATEGORY GROUPINGS	ACTIONS	VIGNETTE	LINE REF
Awareness	Crisis became real	1-004	14
	double-checker	1-011	29
	shifted my attention momentarily	1-011	29
	I slapped my gunner on the leg	1-011	63
	I heard one long 250 round burst from the top of my truck as we exited the kill zone	1-011	64
	The truck was engulfed in flames splitting my element	1-011	68
	I learned that SSG Y did not lack guidance whatsoever; he simply had morals and beliefs inconsistent with those of the rest of the unit	1-012	21
	One of the things that I learned by closely watching his performance	1-012	80
	He would say the right things to superiors, yet his actions did not reflect his words	1-012	82
	He had to know my job and I had to know his.	1-013	24
	We began to take into account the very real possibility that we would have Soldiers killed. We had to go through worst case scenarios and I was expected to develop a plan that would detail every action necessary that we (rear detachment) would need to take from the moment the Soldier was killed to the Memorial Ceremony at XXXXXX to the burial in the Soldier's home state	1-013	35

Selfless devotion

CATEGORY GROUPINGS	ACTIONS	VIGNETTE	LINE REF
selfless devotion		1-004	16
	No more complaints about career	1-004	17
	Willingly gave up showers	1-004	26
	Willingly ate less food	1-004	17
	No more complaints about cold food	1-004	17
	No more work complaints	1-004	18
	Willingly ate less food	1-004	17
	Willingly gave up showers	1-004	26
	My initial reaction was "Why me?" I was not happy with the decision but he was pretty steadfast and I decided it would be futile to fight it	1-013	15

Empathy

CATEGORY GROUPINGS	ACTIONS	VIGNETTE	LINE REF
empathy	Tried to get a response	1-006	5
	Supervisor tried to help	1-006	6
	Medical personnel informed	1-006	8
	I double check all loads	1-011	31
	ensured personally	1-011	32
	concerned me and my crew	1-011	49
	shut his mouth and not to jinx us.	1-011	57
	As I looked over to my left to see if I could assist my gunner	1-011	61
	The section was also concerned with his level of competency and capability to direct a FDC.	1-012	48
	Our inability to trust his decision-making skills became a major concern	1-012	55
	Concerned about personnel	1-006	25
	I thought might be a misunderstood individual	1-012	19
	Naturally, my Platoon Sergeant and I worked with this individual in an attempt to improve his performance and prevent him from not succeeding for the rest of his time with the unit.	1-012	74
	We realized that this individual required additional attention	1-012	77
	Begged for forgiveness	1-002	44
	Made excuses for senior personnel	1-002	46
	I didn't want to wake up my wife or my 18-month-old son.	1-013	50
	The most difficult part of being in this position was that no matter how concise the statement would be, there would be questions from these families. Since their spouses, sons, and daughters were not there to answer them or to comfort them, I was going to be the one they looked to for this emotional support	1-013	101
	we all felt it was our personal responsibility to ensure his family was properly cared for and that he was remembered on XXXXXX as a humble Soldier who gave up everything to fight for freedom.	1-013	172

Personal Responsibility

CATEGORY GROUPINGS	ACTIONS	VIGNETTE	LINE REF
personal responsibility	I made the decision to place	1-011	40
	I paid him some money for work he had done to his school.	1-011	48
	we focused our efforts on clearing the road of burnt hulk	1-011	81
	I guided this individual by giving him daily tasks	1-012	86
	the onus was on me to ensure the Soldier was remembered honorably and that the families were provided the best support	1-013	41
	he and I were the ONLY two people in the US who knew about this casualty and we COULD NOT let it leak or we'd have families going crazy.	1-013	87
	The emotional well-being of each of these families rested in my hands and I needed to ensure that the necessary support chain was in place to handle the effects of this news.	1-013	106
	As the commander, I had to figure out the best way to control the situation and ensure we worked together to meet the needs of everyone who was affected by this news.	1-013	119

Vigilance

CATEGORY GROUPINGS	ACTIONS	VIGNETTE	LINE REF
vigilance	Escorted angry personnel out	1-002	23
	My patrol stayed vigilant and scanned the ridgelines .	1-011	79
	Told senior personnel not to disrespect	1-002	34
	We eventually began our forward progress again once the truck was moved	1-011	83
	I forced him to complete the task during his personal time	1-012	89
	I had to argue with my chain of command and convince them that punitive action against the NCO needed to occur, because everyone in the unit was aware of the incidents that had previously occurred	1-012	95

Grateful and Emotionally attached

CATEGORY GROUPINGS	ACTIONS	VIGNETTE	LINE REF
grateful	I was fortunate to have a Non-Commissioned Officer	1-012	8
	I would have failed as a comforter for the families and I will always be grateful for their help	1-013	156
	I could not have done this alone.	1-013	162
emotional attached	Personally arrived on the scene	1-006	18
	At one point, I broke down in tears with my wife because I could empathize with the friends and families who had just lost a brother to a heinous crime. By allowing myself to become emotionally involved I think I was able to do a better job than I would have if I were able to remove the emotion and just focus on the "script" of our drill .	1-013	175
	Personally arrived on the scene	1-006	18

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