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**STARFLEET MARINE
CORPS**



**LEADERSHIP
DEVELOPMENT
MANUAL**

Revision 2010

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STARFLEET MARINE CORPS

Leadership Manual

2010 Edition



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Part 1 - Introduction

Forward

The SFMC's ultimate responsibility is to win the United Federation of Planet's ground wars. For you as an SFMC leader, leadership in combat is your primary mission and most important challenge. To meet this challenge, you must develop character and competence while achieving excellence. SFMC leaders of character and competence act to achieve excellence. The SFMC leadership framework identifies the dimensions of SFMC leadership: what the SFMC expects you, as one of its leaders, to BE, KNOW, and DO.

Thus in the ever-changing and dangerous and complex environment in which we operate, competent leaders of character are necessary for the SFMC to meet the challenges put before us. SFMC leaders must therefore set the example to all other Marines and the knowledge gained from this manual and subsequent courses should provide the principles and concepts required to help them accomplish this task.

While this manual is certainly not an exhaustive listing of data on the subject matter, enough detail should be provided to enable the student to consider intelligent structure for the coursework examination. Students should certainly feel free to seek other sources of information on these subjects that would assist them in their study.

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Pronoun Disclaimer

The use of "he, his, him," etc., and in particular the term "man" as in "crewman", are used for convenience as the standard English-language convention for unknown-gender pronouns. Not very politically correct, perhaps, but grammatical... and a lot less awkward than "crewpersons". The point is, we don't mean anything by it.

Acknowledgements

This manual has been compiled by the efforts primarily of Sean Niemeyer, Wade Olson and Bruce O'Brien but acknowledgment must be made to the following people, who have contributed their time, ideas, support, effort and expertise in its assembly. They are Scott Akers, Scott Anderson and Barbara Paul. Information & images found in this manual have been assembled from many sources including the paraphrasing of information taken from the Internet or other source material – as well as the compilation of material sourced or produced by the manual creator.

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Reporting Authority

The governing authority for training information is the Commanding Officer, Training and Doctrine Command (COTRACOM). Send question, comments, or suggestions to: **tracom@sfi-sfmc.org**

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Part 2 – Will, Loyalty, Honor

Will

Will is the mental faculty by which one deliberately chooses or decides upon a course of action. It is that inner drive that compels you to keep on going when you are exhausted, hungry, frustrated, etc., when it would be a lot easier to give up and quit. Will enables you to press on with what ever task you are doing and reach its conclusions.

Loyalty

To be a leader you need to be loyal not only to yourself, but your subordinates and to your commanders. Being loyal builds trust in those around you.

Honor

Honor provides the “moral compass” for character and personal conduct in the SFMC. Many people struggle to define the term, but most instinctively recognize that those with a keen sense of right and wrong, those people live such that their words and deeds are beyond reproach. Therefore the expression “honorable person” refers to both character traits and individual actually possesses and the fact that those around them recognize and respect them. As a SFMC leader you must demonstrate an understanding of what is right and take pride in that reputation. You are defined by how you conduct yourself and meet your obligations; how the SFMC meets STARFLEET’S defines the SFMC as an institution. As a leader in the SFMC, honor means that you should put the welfare of the SFMC and STARFLEET above self-interest, above career and comfort.

Part 3 – Be, Know, Do

When one examines the characteristics of a leader in the SFMC one will see that they can be broken down into Be, Know, Do. Part of being a leader is taking action. The Be and the Know, comprised of character and competence, underlie everything that a leader does. So becoming a leader involves developing all aspects of yourself. It means developing the attributes and learning the skills of a leader. Only thorough self-development will you become a confident and competent leader of character. But being a leader in the SFMC is not easy. There are no ready made solutions for the challenges that you will face as a leader. There are however, tools that are available to every leader. It is up to you to master and use them.

Be

Character describes a person's inner strength, it helps you know what is right, but more than that it links knowledge to action. Character gives you the courage to do what is right regardless of the circumstances or the consequences. Character is demonstrated through your behavior. One of your key responsibilities is to teach leadership and professionalism to your subordinates.

As a leader in the SFMC your actions DO speak louder than your words. Leaders who talk about honor, loyalty, character, etc. but do not live up to these values send the wrong message.

Know

To be a leader you must have a certain level of knowledge to be considered competent. This knowledge is combined from four main skill domains; interpersonal skills, conceptual skills, technical skills and tactical skills. Interpersonal skills relate to knowledge of your people and how to work with them. Conceptual skills relate to the ability to understand and apply ideas required to do your job. Technical skills relate to your knowledge necessary to use your equipment. Finally, tactical skills relate to your ability to make the right decisions concerning various scenarios.

Master of different skills in these domains is essential to the welfare of the unit and ultimately the SFMC. A true leader though, is not satisfied with knowing only how to do what will help the organization today, but also concerned with what it will need in the future. You must strive to master your job and also be prepared to take over your boss's job. Also as you move to jobs of ever increasing responsibility, you'll face new ideas and new ways of thinking and doing things. In order to reach your goals you need to learn to apply all these.

Good leaders add to their knowledge and skills everyday. True leaders seek out opportunities; they are always looking for ways to increase their professional knowledge and skills.

Do

Leader actions include:

- **Influencing:** making decisions, communicating those decisions, and motivating people.
- **Operating:** the things you do to accomplish your organization's immediate mission.
- **Improving:** the things you do to increase the organization's capability to accomplish current or future missions.

A leader must step in when there seems to be no hope and everything is falling apart.

Part 4 – Leadership Defined

An ideal SFMC leader has strong intellect, physical presence, professional competence, high moral character, and serves as a role model. An SFMC leader is able and willing to act decisively, within the intent and purpose of his superior leaders, and in the best interest of the organization. SFMC leaders recognize that organizations, built on mutual trust and confidence, successfully accomplish peacetime and wartime missions.

Organizations have many leaders. Everyone in the SFMC is part of a chain of command and functions in the role of leader and subordinate. Being a good subordinate is part of being a good leader. All STARFLEET Marines, at one time or another must act as leaders and followers. Leaders are not always designated by position, rank, or authority. In some situations in our organization, it may even be appropriate for an individual to step forward and assume the role of leader. It is important to understand that leaders do not just lead subordinates—they also lead other leaders.

Everyone in the SFMC is part of a team, and all team members have responsibilities inherent in belonging to that team.

To truly qualify as a multi-skilled SFMC leader, Marines need to:

- Understand the SFMC definitions of leader and leadership
- Learn how the Warrior Ethos is embedded in all aspects of leadership
- Use the SFMC leadership program as a common basis for thinking and learning about leadership and any associated doctrines.
- Discover and understand what makes a good leader or team member.
- Understand the roles and relationships of leaders including the important role of subordinate
- Learn how to lead, develop and achieve through competency based leadership actions
- Understand the basics of operating at the direct, organizational and strategic levels

Defining Leadership

Leadership can have many meanings and interpretations and has been redefined by many people and organizations through the years. Leadership is a process by which a person influences others to accomplish an objective and directs the organization in a way that makes it more cohesive and coherent.

Listed below, are some of the examples of some well known leadership definitions:

Dwight D. Eisenhower defined Leadership as:

"The art of getting someone else to do something you want done because he wants to do it..."

Aristotle said of Leadership:

"He who has never learned to obey cannot be a good commander"

Friedrich Nietzsche said:

"To do great things is difficult; but to command great things is more difficult."

The United States Military defined Leadership as:

The art and science of developing and using political, economic, psychological and military forces as necessary during peace and war, to afford the maximum support of policies, in order to increase the probabilities and favorable consequences of victory and to lessen the chances of defeat.

All SFMC team members must have a basis of understanding for what leadership is and does. The definitions of leadership and leaders address their sources of strength in deep-rooted values, the Warrior Ethos, and professional competence. UFP and SFMC values influence the leader's character and professional development, instilling a desire to acquire the essential knowledge to lead. Leaders apply this knowledge within a spectrum of established competencies to achieve successful mission accomplishment.

The roles and functions of SFMC leaders apply to the three interconnected levels of leadership: direct, organizational, and strategic. Within these levels of leadership, cohesive teams can achieve collective excellence when leadership levels interact effectively.

An enduring expression for SFMC leadership has been BE-KNOW-DO. SFMC leadership begins with what the leader must **BE**—the values and attributes that shape character. It may be helpful to think of these as internal and defining qualities possessed all the time. As defining qualities, they make up the identity of the leader.

An **SFMC leader** is anyone who by virtue of assumed role or assigned responsibility inspires and influences people to accomplish organizational goals. SFMC leaders motivate people both inside and outside the chain of command to pursue actions, focus thinking, and shape decisions for the greater good of the organization. Values and attributes are the same for all leaders, regardless of position, although refined through experience and assumption of positions of greater responsibility. For example, a sergeant major with combat experience may have a deeper understanding of selfless service and personal courage than a new Marine.

The knowledge that leaders should use in leadership is what Marines and civilians **KNOW**.

Leadership requires knowing about tactics, technical systems, organizations, management of resources, and the tendencies and needs of people. Knowledge shapes a leader's identity and is reinforced by a leader's actions.

While character and knowledge are necessary, by themselves they are not enough. Leaders cannot be effective until they apply what they know. What leaders **DO**, or leader actions, is directly related to the influence they have on others and what is done. As with knowledge, leaders will learn more about leadership as they serve in different positions.

New challenges facing leaders, the SFMC and the Federation mandate adjustments in how the SFMC educates, trains, and develops its military and civilian leadership. The SFMC's mission is to fight and win the Federation's wars by providing prompt, sustained land (planetary); station or outpost dominance across the spectrum of conflicts in support of combatant commanders. In a sense, all SFMC leaders must be warriors, regardless of service, branch, gender, status, or component. All serve for the common purpose of protecting the Nation and accomplishing their organization's mission to that end. They do this through influencing people and

providing purpose, direction, and motivation.

Leadership is therefore the process of influencing people by providing purpose, direction, and motivation while operating to accomplish the mission and improving the organization.

Influencing

Influencing is getting people—Marines, civilians, and Federation partners—to do what is necessary. Influencing entails more than simply passing along orders. Personal examples are as important as spoken words. Leaders set that example, good or bad, with every action taken and word spoken, on or off duty. Through words and personal example, leaders communicate purpose, direction, and motivation.

Purpose and Vision

Purpose gives subordinates the reason to act in order to achieve a desired outcome. Leaders should provide clear purpose for their followers and do that in a variety of ways. Leaders can use direct means of conveying purpose through requests or orders for what to do.

Vision is another way that leaders can provide purpose. Vision refers to an organizational purpose that may be broader or have less immediate consequences than other purpose statements. Higher-level leaders carefully consider how to communicate their vision.

Direction

Providing clear direction involves communicating how to accomplish a mission: prioritizing tasks, assigning responsibility for completion, and ensuring subordinates understand the standard. Although subordinates want and need direction, they expect challenging tasks, quality training, and adequate resources.

They should be given appropriate freedom of action. Providing clear direction allows followers the freedom to modify plans and orders to adapt to changing circumstances. Directing while adapting to change is a continuous process.

For example, a battalion-engineering sergeant always takes the time and has the patience to explain to the marine engineers what is required of them. The sergeant does it by calling them together for a few minutes to talk about the workload and the time constraints. Although many Marines tire of hearing from the sergeant about how well they are doing and that they are essential to mission accomplishment, they know it is true and appreciate the comments. Every time the engineer sergeant passes information during a meeting, he sends a clear signal: people are cared for and valued. The payoff ultimately comes when the unit is alerted for a combat deployment. As events unfold at breakneck speed, the engineer sergeant will not have time to explain, acknowledge performance, or motivate them. Soldiers will do their jobs because their leader has earned their trust.

Motivation

Motivation supplies the will to do what is necessary to accomplish a mission. Motivation comes from within, but is affected by others' actions and words. A leader's role in motivation is to understand the needs and desires of others, to align and elevate individual drives into team goals, and to influence others and accomplish those larger aims. Some people have high levels of internal motivation to get a job done, while others need more reassurance and feedback. Motivation spurs initiative when something needs to be accomplished.

Marines become members of the SFMC team for the challenge. That is why it is important to keep them motivated with demanding assignments and missions. As a leader, learn as much as possible about others' capabilities and limitations, then give over as much responsibility as can be handled. When subordinates succeed, praise them. When they fall short, give them credit for what they have done right, but advise them on how to do better. When motivating with words, leaders should use more than just empty phrases; they should personalize the message.

Indirect approaches can be as successful as what is said. Setting a personal example can sustain the drive in others. This becomes apparent when leaders share the hardships. When a unit prepares for a deployment, all key leaders should be involved to share in the hard work to get the equipment ready to ship.

This includes leadership presence at night, weekends, and in all locations and conditions where the troops are toiling.

Operating

Operating encompasses the actions taken to influence others to accomplish missions and to set the stage for future operations. One example is the Aerospace (AE) Squadron Maintenance Chief who is responsible for overseeing all other maintenance Marines and for ensuring that the aerospace craft assigned to that squadron are properly maintained and mission ready at all times. The chief does this through planning and preparing (laying out the work and making necessary arrangements), executing (doing the job), and assessing (learning how to work smarter next time). The chief leads by personal example to achieve mission accomplishment. The civilian supervisor of training developers follows the same sort of operating actions. All leaders execute these types of actions which become more complex as they assume positions of increasing responsibility.

Improving

Improving for the future means capturing and acting on important lessons of ongoing and completed projects and missions. After checking to ensure that all tools are repaired, cleaned, accounted for, and properly stowed away, our Squadron Maintenance Chief conducts an after-action review (AAR). An AAR is a professional discussion of an event, focused on performance standards. It allows participants to discover for themselves what happened, why it happened, how to sustain strengths, and how to improve on weaknesses. Capitalizing on honest feedback, the SM Chief

identifies strong areas to sustain and weak areas to improve. If the AAR identifies that team members spent too much time on certain tasks while neglecting others, the leader might improve the section standing operating procedures or counsel specific people on how to do better.

Developmental counseling is crucial for helping subordinates improve performance and prepare for future responsibilities. The counseling should address strong areas as well as weak ones. If the SM Chief discovers recurring deficiencies in individual or collective skills, remedial training is planned and conducted to improve these specific performance areas. By stressing the team effort and focused learning, the SM Chief gradually and continuously improves the unit. The NCO's personal example sends an important message to the entire team: Improving the organization is everyone's responsibility. The team effort to do something about its shortcomings is more powerful than any lecture.

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Part 5 – Types Leadership

There are three levels of SFMC leadership: direct, organizational, and strategic. Factors that determine a position's leadership level can include the position's span of control, its headquarters level, and the extent of the influence the leader holding the position exerts.

Direct Leadership

Direct leadership is the face-to-face, first-line leadership. In the SFMC the direct leadership roles are filled by the Marine Strike Group and Battalion Officer-in-Charge. Direct leaders develop their subordinates one-on-one but they also influence the organization through them also. Most importantly direct leaders are close enough to see very quickly how things work, how things don't work, and how to address any problems.

Organizational Leadership

Organizational leaders influence the SFMC through more levels of subordinates than direct leaders do. In the SFMC the organizational leadership roles are filled by COTRACOM, COFORCECOM, and COINFOCOM. The added levels of subordinates make it more difficult for them to see results. Organizational leaders have staffs to help them lead and manage any resources they may control.

Organizational leadership skills differ from direct leadership skills in degree, but not in kind in fact organizational leadership builds on direct leader actions. That is, the skill domains are the same, but organizational leaders must deal with more complexity, more people, greater uncertainty, and a greater number of unintended consequences.

Organizational leaders stay mentally and emotionally detached from their immediate surroundings so they can visualize the larger impact on the organization. Marines and subordinate leaders look to their organizational leaders to establish standards for mission accomplishment and provide resources (conditions) to achieve that goal. Organizational leaders provide direction and programs for training and execution that focus efforts on mission success.

Due to the indirect nature of their influence, organizational leaders assess inter-related systems and design long-term plans to accomplish the mission. They must sharpen their abilities to assess their environments, their organization, and their subordinates. Organizational leaders determine the cause and effect of shortcomings, translate these new understandings into plans and programs, and allow their subordinate leaders latitude to execute and get the job done. Getting out of their offices and visiting the parts of their organizations where the work is done is especially important for organizational leaders. They must make time to get to the field to compare the reports their staff gives them with the actual conditions their people face and the perceptions of the organization and mission they hold. Because of their less-frequent presence among their marines, organizational leaders must use those visits they are able to make to assess how well the commander's intent is understood and to reinforce the organization's priorities.

Strategic Leadership

Strategic leaders are responsible for creating and communicating strategic visions. In the SFMC the strategic leadership position is help by DANT and DEPDANT. Although the SFMC Steering Committee does not have any authority to actually run the SFMC it does help guide the DANT and DEPDANT in the decisions that they make.

Strategic leaders work in an uncertain environment on highly complex problems that affect and are affected by events and organizations outside the SFMC. Strategic leaders concern themselves with the total environment in which the SFMC functions.

Strategic leaders, like direct and organizational leaders, process information quickly, assess alternatives based on incomplete data, make decisions, and generate sup-port. However, strategic leaders' decisions affect more people, commit more resources, and have wider-ranging consequences in both space and time than do decisions of organizational and direct leaders. Because they exert influence primarily through subordinates, strategic leaders must develop strong skills in picking and developing good ones.

Part 6 – Styles of Leadership

All people are shaped by what they've seen, what they've learned, and whom they've met. Who you are determines the way you work with other people. Some people are happy and smiling all the time; others are serious. Some leaders can wade into a room full of strangers and inside of five minutes have everyone there thinking, "How have I lived so long without meeting this person?" Other very competent leaders are uncomfortable in social situations. Most of us are somewhere in between. You must strive to learn and improve your leadership skills, but you must always be yourself, anything else comes across as fake and insincere.

Effective leaders are flexible enough to adjust their leadership style and techniques to the people they lead. Some subordinates respond best to coaxing, suggestions, or gentle prodding; others need, and even want at times, the verbal equivalent of a kick in the pants. Treating people fairly doesn't mean treating people as if they were clones of one another. In fact, if you treat everyone the same way, you're probably being unfair, because different people need different things from you.

When people discuss leadership styles many people tend to focus on the two extremes that everyone is familiar with: autocratic and democratic. Autocratic leaders tell people what to do with no explanation. These are the people who say "I'm the boss and you'll do exactly what I say because I say so!" On the other hand Democratic leaders use their personalities to persuade subordinates. Of course there are many different styles of leadership; of which we will explore 5 of them. But bear in mind that a competent leader should be able to mix elements of all these styles to match the place, task, and people involved. Using different leadership styles in different situations or elements of different styles in the same situation isn't inconsistent. The opposite is true: if you can use only one leadership style, you're inflexible and will have difficulty operating in situations where that style doesn't fit.

Directing Leadership Style

This leadership style is leader-centered. Leaders using this style usually do not solicit input from subordinates and give extremely detailed instruction on how, when, and where they want tasks performed. Then when the subordinates execute the task, they supervise them very closely.

This leadership style may be appropriate when time is short and a leader doesn't have time to adequately explain things. This style may also be appropriate when leading inexperienced teams or individuals who cannot yet operate on their own.

Some people believe that using this style means using abusive and demeaning language or even to threaten and intimidate those under them. This is not true. If you're ever tempted to be abusive, whether because of pressure or stress or what seems like improper behavior by a sub-ordinate, ask yourself these questions: Would I want to work for someone like me? Would I want my boss to see and hear me treat subordinates this way? Would I want to be treated this way?

Participating Leadership Style

This leadership style centers on both the leader and the team. The leader given a task asks his or her subordinates for input, information, and recommendations. Ultimately the leader is the one who makes the final decision. The participating leadership style is very appropriate for leaders who have the time to have such consultation or who are dealing with experienced subordinates.

This leadership style at its core is based on the team-building approach. When subordinates help create a plan it in part becomes their plan. This feeling of ownership fosters a strong incentive to invest the necessary effort to make the plan work. Don't be afraid to ask for input from your subordinates, doing so is not a sign of weakness. It is actually a sign of a leader's strength and self-confidence. But remember that asking for advice doesn't mean that you are obligated to follow it, you are always responsible for the quality of your decisions and plans.

Delegating Leadership Style

This leadership style involves giving subordinates the authority to solve problems and make decisions without clearing them through the leader. It is also the most commonly used in the SFMC. This leadership style is best used when working with mature and experienced subordinates or when you want to create a learning experience for subordinates. Remember that in most cases subordinates only need the authority to make decisions, the necessary resources, and a clear understanding of the goals to accomplish the task(s) at hand. As always though, the leader is ultimately responsible for what does or does not happen, but in this style of leadership the leader holds the subordinate leaders accountable for their actions.

Transformational and Transactional Leadership Style

Transformational leadership style focuses on inspiration and change while the transactional leadership style focuses on rewards and punishments. These two styles of leadership tend to be inflexible and will cause difficulties in situations where these styles do not fit.

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Part 7 – The SFMC Leadership Requirements Model

The SFMC exists to serve the Federation as well as to protect enduring Federation interests and fulfil the Federation's military responsibilities. To accomplish this requires value-based leadership, impeccable character and professional competence. The following chart shows the SFMC's leadership requirements. It provides a common basis for thinking and learning about leadership and the associated doctrine. All of this model's components are interrelated.

SFMC LEADERSHIP REQUIREMENTS MODEL

Attributes

(what an SFMC leader is)

A leader of character

- * *SFMC values*
- * *Empathy*
- * *Warrior Ethos*

A leader with presence

- * *Military bearing*
- * *Physically fit*
- * *Composed, confident*
- * *Resilient*

A leader with intellectual Capacity

- * *Mental agility*
- * *Sound judgment*
- * *Innovation*
- * *Interpersonal tact*
- * *Domain knowledge*

Core Leader Competencies

(what an SFMC leader does)

Leads

- * *Leads others*
- * *Extends influence beyond the chain of command*
- * *Leads by example*
- * *Communicates*

Develops

- * *Creates a positive environment*
- * *Prepares self*
- * *Develops others*

Achieves

- * *Gets results*



Three major factors determine an SFMC leader's character: SFMC values, empathy, and the Warrior Ethos. Some characteristics are present at the beginning of the leader's career, while others develop over time through additional education, training, and experience. A leader's physical presence determines how others perceive that leader. The factors of physical presence are military bearing, physical fitness, confidence, and resilience. The leader's intellectual capacity helps to conceptualize solutions and acquire knowledge to do the job. A leader's conceptual abilities apply agility, judgment, innovation, interpersonal tact, and domain knowledge. Domain knowledge encompasses tactical and technical knowledge as well as cultural and geopolitical awareness.

Part 8 – Leader Character

As we have learnt earlier, 'Character', a person's moral and ethical qualities, helps determine what is right and gives a leader motivation to do what is appropriate, regardless of the circumstances or the consequences. An informed ethical conscience consistent with SFMC Values strengthens leaders to make the right choices when faced with tough issues. Since SFMC leaders seek to do what is right and inspire others to do the same, they must embody these values.

Character is essential to successful leadership. It determines who people are and how they act. It helps determine right from wrong and choose what is right. The factors, internal and central to a leader, which make up the leader's core character are—

- SFMC Values
- Empathy.
- Warrior Ethos

SFMC Values

Soldiers and civilians enter the SFMC with personal values developed in childhood and nurtured over many years of personal experience. By taking an oath to serve the Federation and the institution, one also agrees to live and act by a new set of values—SFMC Values. These Values consist of the principles, standards, and qualities considered essential for successful Army leaders. They are fundamental to helping Marines make the right decision in any situation.

The SFMC Values firmly bind all Marines into a fellowship dedicated to serve the Federation and the Corps. They apply to everyone, in every situation, anywhere in the Corps. The trust Marines have for each other and the trust of the members of the Federation, all depend on how well a Marine embodies the SFMC Values.

The Corps recognizes seven values that must be developed in all SFMC individuals. It is not coincidence that when reading the first letters of the SFMC Values in sequence they form the acronym "LDRSHIP":

- Loyalty.
- Duty.
- Respect.
- Selfless service.
- Honor.
- Integrity.
- Personal courage.

Simplistically expressed, these are described thus:

Loyalty - Bear true faith and allegiance to the Articles of Constitution of the United Federation of Planets, the Starfleet Marine Corps, your unit, and other Marines.

Duty - Fulfill your obligations (duty).

Respect – Treat people as they should be treated.

Selfless Service – Put the welfare of the Federation, the SFMC, and subordinates before your own.

Honor – Live up to all the SFMC values.

Integrity – Do what is right – legally and morally.

Personal Courage –Face fear, danger or adversity (physical and moral)

Part 9 – Leader Presence

The impression that an SFMC leader makes on others contributes to the success in leading them. How others perceive or 'see' a leader will depend on that leader's outward appearance, demeanor, actions and words. Marines need a way to size up their leader and this is crucially important to ensure that they then follow his commands and instructions with some degree of confidence in the person issuing them. Those leaders who are prepared and willing to go everywhere – including where the conditions are most severe – will illustrate through their presence that they care. There is no greater inspiration to others than leaders who routinely share in the hardships and danger that are faced by their troops.

But presence is not just a matter of the leader showing up – it also involves the image that the leader projects. Presence is conveyed through actions, words and the manner in which the leaders carry themselves. A reputation is conveyed by the respect that others show; how they refer to the leader and how they respond to the leaders' guidance. Presence is a critical attribute that leaders need to understand.

A leader's effectiveness is dramatically enhanced by undertaking and developing the following areas:

- **Military bearing-** projecting a commanding presence and professional air of authority
- **Physical fitness-** having sound health, strength and endurance which sustain emotional health and conceptual abilities under prolonged stress
- **Confidence** – projecting self-confidence and certainty in the unit's ability to succeed in whatever it does; able to demonstrate composure and outward calm through steady control over emotion.
- **Resilience** – showing a tendency to recover quickly from setbacks, shock, injuries, adversity and stress while maintaining a mission and organizational focus.

Physical characteristics – military and professional bearing, health and physical fitness – can and must be continuously developed in order to establish presence. SFMC leaders represent the institution and the government (Federation) and should always maintain an appropriate level of physical fitness and professional bearing.

"Now, if you are going to win any battle, you have to do one thing. You have to make the mind run the body. Never let the body tell the mind what to do."

-- Gen. George S. Patton

Patton demanded every soldier to run a mile daily, twenty-five years prior to the popularity of jogging. He warned his officers to stay away from desks; they were supposed to be conversing with the troops. Patton taught that one must exercise way past the point of exhaustion to achieve superior strength and increased stamina. When it is finally time for battle, he believed that the mind must take charge of the body since the body will always give up first. Patton required greater physical fitness from those under his command than did any other leader. His emphasis on health gave his soldiers the advantage over enemy troops that would easily tire and get exhausted in battle.

Part 10 – Leader Intelligence

An SFMC leader's intelligence draws on the mental tendencies and resources that shape his conceptual abilities, which are then applied to one's duties and responsibilities. These 'conceptual abilities' enable sound judgment before implementing concepts and plans. They help one to think creatively and to reason analytically, critically, ethically and with cultural sensitivity to consider unintended as well as intended consequences. Like a chess player trying to anticipate an opponent's moves three or four times in advance, leaders must think through what they expect to occur because of a decision. Some decisions may set off a chain of events. Therefore, leaders must attempt to anticipate the second effects of their actions. Even lower-level leaders' actions may have effects well beyond what they expect.

The conceptual components affecting an SFMC leader's intelligence include:

- Agility.
- Judgment.
- Innovation.
- Interpersonal tact.
- Domain knowledge.

Mental Agility

Mental agility is flexibility of mind – a tendency to anticipate or to be able to adapt to an uncertainty or changing situations. Agility assists thinking through second and third-hand effects when the current decision of plan of action is not producing the desired effects. It helps break down habitual thought patterns and forces improvisation when the leader is faced with any conceptual impasses and allows that he quickly applies other multiple perspectives to consider new or different approaches or solutions.

It is not genius which reveals to me suddenly and secretly what I should do in circumstances unexpected by others; it is thought and meditation.

Napoleon Bonaparte - French general (1789-1804) and Emperor of France (1804-1814)

Sound Judgment

Judgment goes hand in hand with agility. Judgment requires the leader to have a capacity to assess situations or circumstances, shrewdly and to then draw feasible conclusions. Good judgment enables the leader to form sound opinions and to make sensible decisions and reliable guesses when needed. Good judgment on a consistent basis is important for successful SFMC leaders and much of it comes from experience.

Judgment comes from experience and experience comes from bad judgments.

General of the Army Omar N. Bradley

Innovation

Innovation describes the leader's ability to introduce something new for the first time when needed or an opportunity exists. Being innovative includes creativity in the production of ideas that are original and worthwhile.

Innovation distinguishes between a leader and a follower.
Steve Jobs

Interpersonal Tact

Tact is the ability to say and do the right thing at the right time. In a leadership sense, this requires that the leader is able to effectively interact with others on the basis that he knows how his actions, deeds and words will be perceived. It also relies on accepting the character, reactions and motives of oneself and others. Interpersonal tact combines these skills, along with recognizing that not all people will have the same perception and then displaying self-control, balance, and stability to be able to effectively and professionally handle the result.

An officer or noncommissioned officer who loses his temper and flies into a tantrum has failed to obtain his first triumph in discipline.
Noncommissioned Officer's Manual (1917)

Domain Knowledge

Domain knowledge requires possessing facts, beliefs, and logical assumptions in many areas.

- Tactical knowledge is an understanding of military tactics related to securing a designated objective through military means.
- Technical knowledge consists of the specialized information associated with a particular function or system.
- Joint knowledge is an understanding of joint organizations, their procedures, and their roles in national defense.
- Cultural and geopolitical knowledge is awareness of cultural, geographic, and political differences and sensitivities.

If you can wear Arab kit when with the tribes you will acquire their trust and intimacy to a degree impossible in uniform.
T.E. Lawrence -Twenty-Seven-Articles (1917)

Part 11 – Leading

SFMC leaders apply character, presence, intellect, and abilities to the core leader competencies while guiding others toward a common goal and mission accomplishment.

- a. Direct leaders influence others person-to-person, such as a team leader who instructs, recognizes achievement, and encourages hard work.
- b. Organizational and strategic leaders influence those in their sphere of influence, including immediate subordinates and staffs, but often guide their organizations using indirect means of influence.

At the direct level, a platoon leader knows what a battalion commander wants done, not because the lieutenant was briefed personally, but because the lieutenant understands the commander's intent two levels up. The intent creates a critical link between the organizational and direct leadership levels. At all levels, leaders take advantage of formal and informal processes to extend influence beyond the traditional chain of command.

The **leading** category of the core leader competencies includes the four competencies described in Chapter 3 (... leads others; extends influence beyond the chain of command; leads by example; communicates..)

Two of these competencies focus on who is being led and with what degree of authority and influence: **leads others** and **extends influence beyond the chain of command**. The other leading competencies address two ways by which leaders to convey influence: **leads by example** and **communicates**.

- **Leads others** involves influencing Marines in the leader's unit or organization. This competency has a number of components including setting clear direction, enforcing standards, and balancing the care of troops against mission requirements so they are a productive resource. Leading within an established chain of command with rules, procedures, and norms differs from leading outside an established organization or across commands.
- **Extends influence beyond the chain of command** requires the ability to operate in an environment, encompassing higher and lower command structures, and using one's influence outside the traditional chain of command. This includes connecting with joint, allied, and multi-planetary partners, as well as local nationals, and civilian-led governmental or nongovernmental agencies on Federation and non-Federation aligned planets. In this area, leaders often must operate without designated authority or while their authority is not recognized by others.
- **Leads by example** is essential to leading effectively over the course of time. Whether they intend to or not, leaders provide an example that others consider and use in what they do. This competency reminds every leader to serve as a role model. What leaders do should be grounded in the SFMC Values and imbued with the Warrior Ethos.

- **Communicates** ensures that leaders attain a clear understanding of what needs to be done and why within their organization. This competency deals with maintaining clear focus on the team's efforts to achieve goals and tasks for mission accomplishment. It helps build consensus and is a critical tool for successful operations in diverse multinational settings. Successful leaders refine their communicating abilities by developing advanced oral, written, and listening skills. Commanders use clear and concise mission orders and other standard forms of communication to convey their decisions to subordinates.

When you're first sergeant, you're a role model whether you know it or not. You're a role model for the guy that will be in your job. Not next month or next year, but ten years from now. Every day soldiers are watching you and deciding if you are the kind of first sergeant they want to be.

An US Army First Sergeant
1988

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Part 12 – Persuasion in Communication

As a leader persuasion is an extremely important communication skill. Having well developed skills of persuasion and an openness to working through controversy in a positive way will help you overcome resistance and build support. Being able to reduce misunderstanding, persuasion reduces time wasted in trying to overcome unimportant issues. Persuasion also ensures that other will be involved and opens communication with them, and places value on their opinions.

Part 13 – Team Building

Like individuals teams have different personalities. As a leader your job isn't to make teams that are carbon copies of one another; your job is instead to make the best use of a particular team's talents. This maximizes the potential of the team and helps motivate them. But first you need to learn how to build a team. Below are the stages of Team Building.

Formation Stage

Teams work best when any new members are brought on board quickly. There are two steps to this stage, reception and orientation. Reception is the leader's welcome and orientation begins with meeting other team members, learning the schedule and the way things are done.

Remember that first impressions are important when you meet someone new. This is especially true of teams. The new member's reception and orientation creates that crucial first impression. A good experience joining the organization will make it easier for the new member to fit in and contribute.

Enrichment Stage

New teams and new team members gradually move from questioning everything to trusting themselves, their peers, and their leaders. Leaders earn that trust by listening, following up on what they hear, establishing clear lines of authority, and setting standards.

Sustainment Stage

When a team reaches this stage, its members think of the team as "their team." They own it, have pride in it, and want the team to succeed. At this stage, team members will do what needs to be done without being told. The leader works to keep the team going in spite any stresses.

Part 14 – Building an Ethical Climate

As a leader in the SFMC you are the ethical standard bearer for the SFMC. You are responsible for building an ethical climate that demands and rewards behavior consistent with the STARFLEET Officer's Code of Conduct. Remember that setting a good ethical example doesn't mean that your subordinates will follow it. Some of them may feel that the circumstances justify unethical behavior. Therefore you must constantly seek to maintain a feel for the organization's current ethical climates and take prompt action to correct any discrepancies between the climate and the standard.

APPENDICES



Appendix A – Performance Indicators

Appendix A is organized around the leadership dimensions that this manual discusses. This appendix lists indicators for you to use to assess the leadership of yourself and others based on these leadership dimensions. Use it as an assessment and counseling tool, not as a source of phrases for evaluation reports.

VALUES

LOYALTY

Leaders who demonstrate loyalty:

- Bear true faith and allegiance in the correct order to STARFLEET, the SFMC, and the organization.
- Observe higher headquarters' priorities.
- Work within the system without manipulating it for personal gain.

DUTY

Leaders who demonstrate devotion to duty:

- Fulfill obligations—professional, legal, and moral.
- Carry out mission requirements.
- Meet professional standards.
- Set the example.
- Comply with policies and directives.
- Continually pursue excellence.

RESPECT

Leaders who demonstrate respect:

- Treat people as they should be treated.
- Create a climate of fairness and equal opportunity.
- Are discreet and tactful when correcting or questioning others.
- Show concern for and make an effort to check on the safety and well-being of others.
- Are courteous.
- Don't take advantage of positions of authority.

SELFLESS SERVICE

Leaders who demonstrate selfless service:

- Put the welfare of STARFLEET, the SFMC, and subordinates before their own.
- Sustain team morale.
- Share subordinates' hardships.
- Give credit for success to others and accept responsibility for failure themselves.

HONOR

Leaders who demonstrate honor:

- Live up to the STARFLEET Officer's Code of Conduct.
- Don't lie, cheat, steal, or tolerate those actions by others.

INTEGRITY

Leaders who demonstrate integrity:

- Do what is right legally and morally.
- Possess high personal moral standards.
- Are honest in word and deed.
- Show consistently good moral judgment and behavior.
- Put being right ahead of being popular.

PERSONAL COURAGE

Leaders who demonstrate personal courage:

- Show physical and moral bravery.
- Take responsibility for decisions and actions.
- Accept responsibility for mistakes and shortcomings.

ATTRIBUTES

MENTAL ATTRIBUTES

Leaders who demonstrate desirable mental attributes:

- Possess and display will, self-discipline, initiative, judgment, self-confidence, intelligence, common sense, and cultural awareness.
- Think and act quickly and logically, even when there are no clear instructions or the plan falls apart.
- Analyze situations.
- Combine complex ideas to generate feasible courses of action.
- Balance resolve and flexibility.
- Show a desire to succeed; do not quit in the face of adversity.
- Do their fair share.
- Balance competing demands.
- Embrace and use the talents of all members to build team cohesion.

PHYSICAL ATTRIBUTES

Leaders who demonstrate desirable physical attributes:

- Maintain an appropriate level of physical fitness and military bearing.
- Present a neat and professional appearance.
- Meet established norms of personal hygiene, grooming, and cleanliness.
- Render appropriate military and civilian courtesies.
- Demonstrate nonverbal expressions and gestures appropriate to the situation.
- Are personally energetic.
- Cope with hardship.
- Complete physically demanding endeavors.
- Continue to function under adverse conditions.
- Lead by example in performance, fitness, and appearance.

EMOTIONAL ATTRIBUTES

Leaders who demonstrate appropriate emotional attributes:

- Show self-confidence.
- Remain calm during conditions of stress, chaos, and rapid change.
- Exercise self-control, balance, and stability.
- Maintain a positive attitude.
- Demonstrate mature, responsible behavior that inspires trust and earns respect.

SKILLS

INTERPERSONAL SKILLS

Leaders who demonstrate interpersonal skills

- Coach, teach, counsel, motivate, and empower subordinates.
- Readily interact with others.
- Earn trust and respect.
- Actively contribute to problem solving and decision making.
- Are sought out by peers for expertise and counsel

CONCEPTUAL SKILLS

Leaders who demonstrate conceptual skills:

- Reason critically and ethically.
- Think creatively.
- Anticipate requirements and contingencies.
- Improvise within the commander's intent.
- Use appropriate reference materials.
- Pay attention to details.

TECHNICAL SKILLS

Leaders who demonstrate technical skills:

- Possess or develop the expertise necessary to accomplish all assigned tasks and functions.
- Know standards for task accomplishment.
- Prepare clear, concise operation orders.
- Use technology, especially information technology, to enhance communication.

ACTIONS

INFLUENCING

Leaders who influence:

- Use appropriate methods to reach goals while operating and improving.
- Motivate subordinates to accomplish assigned tasks and missions.
- Set the example by demonstrating enthusiasm for and, if necessary, methods of accomplishing assigned tasks.
- Make themselves available to assist peers and subordinates.
- Share information with subordinates.
- Encourage subordinates and peers to express candid opinions.
- Actively listen to feedback and act appropriately based on it.
- Mediate peer conflicts and disagreements.
- Tactfully confront and correct others when necessary.
- Earn respect and obtain willing cooperation of peers, subordinates, and superiors.
- Challenge others to match their example.
- Take care of subordinates and their families, providing for their health, welfare, morale, and training.
- Are persuasive in peer discussions and prudently rally peer pressure against peers when required.
- Provide a team vision for the future.
- Shape the organizational climate by setting, sustaining, and ensuring a values-based environment.

COMMUNICATING

Leaders who communicate effectively:

- Display good oral, written, and listening skills.
- Persuade others.
- Express thoughts and ideas clearly to individuals and groups.

ORAL COMMUNICATION

Leaders who effectively communicate orally:

- Speak clearly and concisely.
- Speak enthusiastically and maintain listeners' interest and involvement.
- Make appropriate eye contact when speaking.
- Use gestures that are appropriate but not distracting.
- Convey ideas, feelings, sincerity, and conviction.
- Express well-thought-out and well-organized ideas.
- Use grammatically and doctrinally correct terms and phrases.
- Use appropriate visual aids.
- Act to determine, recognize and resolve misunderstandings.
- Listen and watch attentively; make appropriate notes; convey the essence of what was said or done to others.
- React appropriately to verbal and nonverbal feedback.
- Keep conversations on track.

WRITTEN COMMUNICATION

Leaders who effectively communicate in writing:

- Are understood in a single rapid reading by the intended audience.
- Use correct grammar, spelling, and punctuation.
- Have legible handwriting.
- Put the "bottom line up front."
- Use the active voice.
- Use an appropriate format, a clear organization, and a reasonably simple style.
- Use only essential acronyms and spell out those used.
- Stay on topic.
- Correctly use facts and data.

DECISION MAKING

Leaders who make effective, timely decisions:

- Employ sound judgment and logical reasoning.
- Gather and analyze relevant information about changing situations to recognize and define emerging problems.
- Make logical assumptions in the absence of facts.
- Uncover critical issues to use as a guide in both making decisions and taking advantage of opportunities.
- Keep informed about developments and policy changes inside and outside the organization.
- Recognize and generate innovative solutions.
- Develop alternative courses of action and choose the best course of action based on analysis of their relative costs and benefits.
- Anticipate needs for action.
- Relate and compare information from different sources to identify possible cause-and-effect relationships.
- Consider the impact and implications of decisions on others and on situations.
- Involve others in decisions and keep them informed of consequences that affect them.

- Take charge when in charge.
- Define intent.
- Consider contingencies and their consequences.
- Remain decisive after discovering a mistake.
- Act in the absence of guidance.
- Improve within commander's intent; handle a fluid environment.

MOTIVATING

Leaders who effectively motivate:

- Inspire, encourage, and guide others toward mission accomplishment.
- Don't show discouragement when facing setbacks.
- Attempt to satisfy subordinates' needs.
- Give subordinates the reason for tasks.
- Provide accurate, timely, and (where appropriate) positive feedback.
- Actively listen for feedback from subordinates.
- Use feedback to modify duties, tasks, requirements, and goals when appropriate.
- Recognize individual and team accomplishments and reward them appropriately.
- Recognize poor performance and address it appropriately.
- Justly apply disciplinary measures.
- Keep subordinates informed.
- Clearly articulate expectations.
- Consider duty positions, capabilities, and developmental needs when assigning tasks.
- Provide early warning to subordinate leaders of tasks they will be responsible for.
- Define requirements by issuing clear and concise orders or guidance.
- Allocate as much time as possible for task completion.
- Accept responsibility for organizational performance. Credit subordinates for good performance.
- Take responsibility for and correct poor performance.

OPERATING

Leaders who effectively operate:

- Accomplish short-term missions.
- Complete individual and unit tasks to standard, on time, and within the commander's intent.

PLANNING AND PREPARING

Leaders who effectively plan:

- Develop feasible and acceptable plans for themselves and others that accomplish the mission while expending minimum resources.
- Use forward planning to ensure each course of action achieves the desired outcome.
- Use reverse planning to ensure that all tasks can be executed in the time available and that tasks depending on other tasks are executed in the correct sequence.
- Determine specified and implied tasks and restate the higher headquarters' mission in terms appropriate to the organization.
- Incorporate adequate controls such as time phasing; ensure others understand when actions should begin or end.
- Allocate time to prepare and conduct rehearsals.
- Ensure all courses of action accomplish the mission within the commander's intent.

- Allocate available resources to competing demands by setting task priorities based on the relative importance of each task.
- Address likely contingencies.
- Remain flexible.
- Coordinate plans with higher, lower, adjacent, and affected organizations.
- Personally arrive on time and meet deadlines; require subordinates and their organizations to accomplish tasks on time.
- Delegate all tasks except those they are required to do personally.
- Schedule activities so the organization meets all commitments in critical performance areas.
- Recognize and resolve scheduling conflicts.
- Notify peers and subordinates as far in advance as possible when their support is required.
- Use some form of a personal planning calendar to organize requirements.

EXECUTING

Leaders who effectively execute:

- Use technical to meet mission standards, take care of people, and accomplish the mission with available resources.
- Perform individual and collective tasks to standard.
- Execute plans, adjusting when necessary, to accomplish the mission.
- Encourage initiative.
- Keep higher and lower headquarters, superiors, and subordinates informed.
- Keep track of people and equipment.
- Make necessary on-the-spot corrections.
- Adapt to and handle fluid environments.
- Fight through obstacles, difficulties, and hardships to accomplish the mission.
- Keep track of task assignments and adjust assignments, if necessary; follow up.

ASSESSING

Leaders who effectively assess:

- Use assessment techniques and evaluation tools to identify lessons learned and facilitate consistent improvement.
- Establish and employ procedures for monitoring, coordinating, and regulating subordinates' actions and activities.
- Conduct initial assessments when beginning a new task or assuming a new position.
- Analyze activities to determine how desired end states are achieved or affected.
- Seek sustainment in areas when the organization meets the standard.
- Observe and assess actions in progress without over supervising.
- Judge results based on standards.
- Sort out important actual and potential problems.
- Determine causes, effects, and contributing factors for problems.
- Analyze activities to determine how desired end states can be achieved ethically.

IMPROVING

Leaders who effectively improve the organization:

- Sustain skills and actions that benefit themselves and each of their people for the future.
- Sustain and renew the organization for the future by managing change and

exploiting individual and institutional learning capabilities.

- Create and sustain an environment where all leaders, subordinates, and organizations can reach their full potential.

DEVELOPING

Leaders who effectively develop:

- Strive to improve themselves, subordinates, and the organization.
- Mentor by investing adequate time and effort in counseling, coaching, and teaching their individual subordinates and sub-ordinate leaders.
- Set the example by displaying high standards of duty performance, personal appearance, military and professional bearing, and ethics.
- Create a climate that expects good performance, recognizes superior performance, and doesn't accept poor performance.
- Design tasks to provide practice in areas of subordinate leaders' weaknesses.
- Clearly articulate tasks and expectations and set realistic standards.
- Guide subordinate leaders in thinking through problems for themselves.
- Anticipate mistakes and freely offer assistance without being overbearing.
- Observe, assess, counsel, coach, and evaluate subordinate leaders.
- Motivate subordinates to develop themselves.
- Arrange training opportunities that help subordinates achieve insight, self-awareness, self-esteem, and effectiveness.
- Balance the organization's tasks, goals, and objectives with subordinates' personal and professional needs.
- Develop subordinate leaders who demonstrate respect for natural resources and the environment.
- Act to expand and enhance subordinates' competence and self-confidence.
- Encourage initiative.
- Create and contribute to a positive organizational climate.
- Build on successes.
- Improve weaknesses.

BUILDING

Leaders who effectively build:

- Spend time and resources improving the organization.
- Foster a healthy ethical climate.
- Act to improve the organization's collective performance.
- Comply with and support organizational goals.
- Encourage people to work effectively with each other.
- Promote teamwork and team achievement.
- Are examples of team players.
- Offer suggestions, but properly execute decisions of the chain of command and NCO support channel, even unpopular ones, as if they were their own.
- Accept and act on assigned tasks.
- Volunteer in useful ways.
- Remain positive when the situation becomes confused or changes.
- Use the chain of command and NCO support channel to solve problems.
- Support equal opportunity.
- Prevent sexual harassment.
- Participate in organizational activities and functions.
- Participate in team tasks and missions without being requested to do so.

LEARNING

Leaders who effectively learn:

- Seek self-improvement in weak areas.
- Encourage organizational growth.
- Envision, adapt, and lead change.
- Act to expand and enhance personal and organizational knowledge and capabilities.
- Apply lessons learned.
- Ask incisive questions.
- Envision ways to improve.
- Design ways to practice.
- Endeavor to broaden their understanding.
- Transform experience into knowledge and use it to improve future performance.
- Make knowledge accessible to the entire organization.
- Exhibit reasonable self-awareness.
- Take time off to grow and recreate.
- Embrace and manage change; adopt a future orientation.
- Use experience to improve themselves and the organization.

Appendix B – Leadership in Action:

A perspective and historical narrative of some great military leaders.



Hannibal, son of Hamilcar Barca (247 BC – 183 BC)

"We will either find a way, or make one...."
- Hannibal

Hannibal was the eldest son the Carthaginian general, Hamilcar Barca. After taking command of the Carthaginian Army in 221, Hannibal took on the might of the Roman Empire by attacking, besieging and sacking several of their allies towns and cities. This helped to bring about the Second Punic War and it was then that Hannibal rose to greatest fame by his daring and aggressive policy of taking the war directly to the Empire, by attacking Rome itself, with a bold invasion of Italy.

To achieve this, he mounted a heroic offensive by crossing the Alps with an army of some 50,000 infantry, 9,000 cavalry and 37 elephants. After many successful and bloody engagements and supported by many of Rome's so-called "allies", the Carthaginians at first won some significant and comprehensive victories – but he was eventually defeated by a young Roman commander, Publius Cornelius Scipio and the Second Punic War came to an end.

After the later annihilation of Carthage during the Third Punic War, Hannibal committed suicide by taking poison in 183BC, to avoid capture.

Many important leadership attributes can be directly identified as contributing to Hannibal's success. Some of these characteristics were courage, confidence, communication, mental and physical toughness, adaptability and selflessness.

Hannibal displayed extraordinary courage – cut off and isolated from his own country, he fearlessly fought against the Romans for over a decade in Italy. During his entire campaign, Carthage sent him only a few supplies and scant reinforcements. He was basically on his own and to forage the land to sustain his soldiers. He obtained reinforcements only by winning the hearts and minds of the local populations of the countries he traveled through. If he had had any doubt in his own abilities or

shown a lack of courage during the Italian campaign, the Romans would have had a quick and decisive victory.

Hannibal had great self-confidence in himself and in his ability to inspire and lead his troops on a long and dangerous campaign. He never lost confidence in his own ability to find a way out of a difficult situation or to turn sure defeat into a draw, at the very least.

He also possessed excellent communication skills with his ability to communicate going beyond merely talking to his soldiers, but in also in conveying his thoughts through his actions – which is the most powerful form of communication. He possessed the unique ability to transmit his desires and will to his subordinates not only by what he said, but more importantly by what he did.

He led his soldiers by example – leading a multi-lingual army without speaking the various languages was not easy – so he led from the front, often taking exactly the same risks as his men in battle, right at the front line. By fighting right alongside his troops, and exposing himself to the same hazards as they, he provided a form of communication by his philosophy of leadership, that words could never have expressed.

His personal physical strength and moral toughness both inspired and encouraged his soldiers. The harsh conditions under which they campaigned were shared by all, with Hannibal suffering the same shortages of food and comfort as his men. Even in defeat, his leadership qualities meant he was able to maintain order and discipline when lesser commander's troops would have run from the battlefield.

He was never tactically beaten on the battlefield – rather withdrawing from the Italian campaign at the request of Carthage, as they required his troops to help defend the city against attack.





Gustavus Adolphus (1594-1632)

Gustavus Adolphus was born in Stockholm, Sweden, and was the oldest son of King Charles IX of the Vasa dynasty, and his wife Christina of Holstein-Gottorp.

After the death of his father in 1611, seventeen year-old Gustav inherited the throne, as well as an ongoing succession of occasionally belligerent dynastic disputes with his Polish cousin, Sigismund II of Poland, who in the religious strife before the Thirty Year's War had been forced to let go of the throne of Sweden to Gustav's father.

Gustavus Adolphus was known as an able military commander. His innovative tactical integration of infantry, cavalry, artillery and logistics earned him the title of the "Father of Modern Warfare". Future commanders who studied and admired Gustav II Adolf include Napoleon 1 of France and Carl von Clausewitz. His advancements in military science made Sweden the dominant Baltic power for the next one hundred years. He is also the only Swedish monarch to be styled "the Great".

The military innovations of Gustavus Adolphus are well documented. Less studied is his creativity in exploiting opportunities on the battlefield and his refusal to be stayed from a course of action. Though one of his least famous actions, the passage of the Lech River is a shining example of his ability to recognize his army's condition, establish its goal, and concentrate decisive combat power - all the while protecting his soldiers. The Swedish King's prescience in utilizing modern military techniques over 360 years ago is remarkable.

As a general, Gustavus is famous for employing mobile artillery on the battlefield, as well as very aggressive tactics where attack was stressed over defense, and mobility and cavalry initiative were emphasized.

This was only part of the reason why Carl von Clausewitz and Napoleon Bonaparte idolized him as the general above all others. His character both of purpose and of amity with all his troops from commanding officers right down to the rank and file, earned him unassailably documented fame which most commanders in chief would gladly accept as mere joking anecdotes.

The king was an active participant in the battles, and was wounded several times, amongst them gunshot wounds to the throat and the abdomen. The war wounds led the king to adopt a flexible armor of hide instead of the customary metal cuirass, and this is what he wore in the Battle of Lützen. Gustav's armor is currently on display in the Royal Swedish Armory at the Royal Palace in Stockholm. He was the perfect example of "leading from the front"

Ironically however, in the long run, his decisive leadership would prove his undoing, for Gustavus Adolphus was slain, fighting with sword in hand, at the Battle of Lutzen in November, 1632.



Napoleon Bonaparte – Napoleon 1 (1769 – 1821)

"Soldiers usually win the battles and generals get the credit for them."
- Napoleon Bonaparte

Napoleon Bonaparte was born on August 15, 1769 in Ajaccio on the Mediterranean island of Corsica, the son of Carlo and Letzia Bonaparte. Through his military exploits and his ruthless efficiency, Napoleon rose from obscurity to become Napoleon I, Empereur des Français (Emperor of the French). He is both a historical figure and a legend—and it is sometimes difficult to separate the two. The events of his life fired the imaginations of great writers, film makers, and playwrights whose works have done much to create the Napoleonic legend.

He dominated the art of warfare amongst the European powers in the period 1796 to 1815. He was a military genius in the strategic and tactical handling of armies and although he provided no large scale reforms of armies, or their equipment and techniques, he excelled at the refinement of an art that already existed.

Napoleon's personality had a significant impact throughout his career. Many factors helped him rise to fame and enhance his abilities; his almost hypnotic power over his contemporaries; his intellectual capacity; the ability to work for long periods continually; his iron will and irresistible charm all helped during the early part of his career to establish himself at an early age as a very competent general. The later point was especially significant when he took command of the Army of Italy in 1796 at the age of only 27

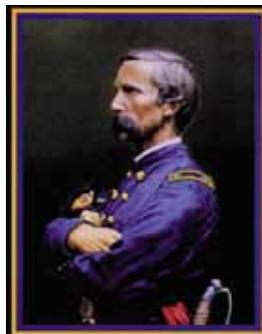
One of the most important factors of Napoleon's personality and its effect on his abilities as a military commander was his genius to inspire others. Napoleon was eminently aware of the impact of morale on modern warfare. He believed in the maxim that "morale is to the physical as three is to one", further emphasizing the point while in exile on St Helena: "Moral force rather than numbers, decides victory." It was through his system of awards and appealing to soldiers "soul in order to electrify the man" that Napoleon was so successful in obtaining unquestionable obedience from his rank and file.

Utilizing his immense administrative and organization talents, Napoleon set about creating a state that could support his military ambitions and refining its military force. He restructured the army, organizing it into self-contained corps, miniature armies capable of fighting alone if necessary and never more than a day's march apart. The size of each corps carried from 10,000 to 40,000, depending on its role and Napoleon's confidence in its commander's ability.

Napoleon's genius lay not in revolutionizing of warfare itself, but in the refinement

of existing means. He did not propose any drastic changes in tactics nor invent a new method of waging warfare; instead he excelled at the tactical handling of the armies of the late eighteenth and early nineteenth centuries. Napoleon established himself as a great leader of men during the revolutionary period with the siege of Toulon and his triumphs in Italy in 1796. These talents were refined and reached their height during the battles of Ulm, Austerlitz and Jena in the period of 1805-1806. Towards the end of the Empire the weaknesses of Napoleon as a military commander became more evident however and he was ultimately defeated at the Battle of Waterloo in 1815.





Joshua Lawrence Chamberlain (1828 – 1914)

"We fought no better, perhaps, than they. We exhibited, perhaps, no higher individual qualities."

- Joshua Chamberlain

Joshua Chamberlain was an American college professor from the State of Maine, who volunteered during the American Civil War to join the Union Army. Although having no earlier education in military strategies, he became a highly respected and decorated Union officer, reaching the rank of Brigadier General (and brevet Major General). For his gallantry at Gettysburg, he was awarded the Medal of Honor.

He was given the honor of commanding the Union troops at the surrender ceremony for the infantry of Robert E. Lee's Army at Appomattox, Virginia. After the war, he entered politics as a Republican and served four terms of office as Governor of Maine, as president of Bowdoin College, and as president of a railroad construction company.

The famous fight between the 20th Regiment of Maine Volunteers and the 15th and 47th Regiments of Alabama Infantry during the battle of Gettysburg shows multiple components of the leadership requirements model at work. At the focal point, Colonel Joshua Chamberlain, a competent and confident leader, turns a seemingly hopeless situation into victory.

Colonel Chamberlain at Gettysburg

In late June 1863, Confederate GEN Robert E. Lee's Army of Northern Virginia passed through western Maryland and invaded Pennsylvania. For five days, the Army of the Potomac hurried to get between the Confederates and the National capital. On 1 July 1863, the 20th Maine received word to press on to Gettysburg. The Union Army had engaged the Confederates there, and Union commanders were hurrying all available forces to the hills south of the little town.

The 20th Maine arrived at Gettysburg near midday on 2 July, after marching more than one hundred miles in five days. They had had only two hours sleep and no hot food during the previous 24 hours. The regiment was preparing to go into a defensive position as part of the brigade commanded by COL Strong Vincent when a staff officer rode up to COL Vincent and began gesturing towards a little hill at the extreme southern end of the Union line. The hill, Little Round Top, dominated the Union position and, at that moment, was unoccupied. If the Confederates placed artillery on it, they could force the entire Union Army to withdraw. The hill had been left unprotected through a series of mistakes—wrong assumptions, the failure to communicate clearly, and the failure to check. The situation was critical.

Realizing the danger, COL Vincent ordered his brigade to occupy Little Round Top. He positioned the 20th Maine, commanded by COL Joshua L. Chamberlain, on his brigade's left flank, the extreme left of the Union line. COL Vincent told COL Chamberlain to "hold at all hazards."

On Little Round Top, COL Chamberlain issued his intent and purpose for the mission to the assembled company commanders. He ordered the right flank company to tie in with the 83d Pennsylvania and the left flank company to anchor on a large boulder because the 20th Maine was literally at the end of the line.

COL Chamberlain then showed a skill common to good tactical leaders. He mentally rehearsed possible countermoves against imagined threats to his unit's flank. Since he considered his left flank highly vulnerable, COL Chamberlain sent B Company, commanded by CPT Walter G. Morrill to guard it and "act as the necessities of battle required." The captain positioned his men behind a stone wall, facing the flank of any possible Confederate advance. Fourteen Soldiers from the 2d U.S. Sharpshooters, previously separated from their own unit, joined them.

The 20th Maine had only been in position a few minutes when the Soldiers of the 15th and 47th Alabama attacked. The Confederates, having marched all night, were tired and thirsty, but they attacked ferociously.

The Maine men held their ground until one of COL Chamberlain's officers reported seeing a large body of Confederate Soldiers moving laterally behind the attacking force. COL Chamberlain climbed on a rock and identified a Confederate unit moving around his exposed left flank. He knew that if they outflanked him, his unit would be pushed off its position, facing sure destruction.

COL Chamberlain had to think fast. The tactical manuals he had so diligently studied only offered maneuver solutions, unsuitable for the occupied terrain. He had to create a new stock solution—one that his Soldiers could execute now and under pressure.

Since the 20th Maine was in a defensive line, two ranks deep, and it was threatened by an attack around its left flank, the colonel ordered his company commanders to stretch the line to the left. While keeping up a steady rate of fire, his line ultimately connected with the large boulder he had pointed out earlier. The sidestep maneuver was tricky, but it was a combination of other battle drills his Soldiers knew.

In spite of the terrible noise that confused voice commands, blinding smoke, the cries of the wounded, and the continuing Confederate attack—the Maine men succeeded.

Although COL Chamberlain's thin line was only one rank deep, it now covered twice their normal frontage and was able to throw back the Confederate infantry, assaulting a flank they thought was unprotected.

Despite desperate Confederate attempts to break through, the Maine men rallied and held repeatedly. After five desperate encounters, the Maine men were down to one or two rounds per man, and determined Confederates were regrouping for another try.

COL Chamberlain recognized that he could not stay where he was but could not withdraw, either. He decided to attack. His men would have the advantage of attacking down the steep hill, he reasoned, and the Confederates would not expect

it. Clearly, he was risking his entire unit, but the fate of the Union Army depended on his men.

The decision left COL Chamberlain with another problem: there was nothing in the tactics book about how to get his unit from current disposition into a firm line of advance. Under tremendous fire in the midst of the battle, COL Chamberlain assembled his commanders. He explained that the regiment's left wing would swing around "like a barn door on a hinge" until it was even with the right wing. Then the entire regiment, bayonets fixed, would charge downhill, staying anchored to the 83d Pennsylvania on the right. The explanation was as simple as the situation was desperate.

When COL Chamberlain gave the order, LT Holman Melcher of F Company leaped forward and led the left wing downhill toward the surprised Confederates. COL Chamberlain had positioned himself at the boulder at the center of the unfolding attack. When his unit's left wing came abreast of the right wing, he jumped off the rock and led the right wing down the hill. The entire regiment was now charging on line, swinging like a great barn door—just as he had intended.

The Alabama Soldiers, stunned at the sight of the charging Union troops, fell back on the positions behind them. There, the 20th Maine's charge might have failed. Just then, CPT Morrill's B Company and the sharpshooters opened fire on the Confederate flank and rear, just as envisioned by COL Chamberlain. The exhausted and shattered Alabama regiments now thought they were surrounded. They broke and ran, not realizing that one more attack would have carried the hill for them.

At the end of the battle, the slopes of Little Round Top were littered with bodies.

Saplings halfway up the hill had been sawed in half by weapons fire. A third of the 20th Maine had fallen—130 men out of 386. Nonetheless, the farmers, woodsmen, and fishermen from Maine—under the command of a brave and creative leader, who had anticipated enemy actions, improvised under fire, and applied disciplined initiative in the heat of battle—had fought through to victory.



Colonel Chamberlain made sure that every man knew what was at stake when his unit prepared for battle at Gettysburg. Prior to the battle, he painstakingly developed his leaders and built his unit into a team with mutual trust between leaders and the subordinates. While teaching and training his Soldiers, he showed respect and compassion for his men and their diverse backgrounds, thus deepening the bond between the commander and his unit. During the battle, he effectively communicated his intent and led by example, with courage and determination.

His tactical abilities, intellect, and initiative helped him seize the opportunity and transition from defensive to offensive maneuver, achieving victory over his Confederate opponents.

For his actions on 2 July 1863, Colonel Chamberlain received the Medal of Honor.



Dwight D. Eisenhower (1890 -1969)

"In preparing for battle I have always found that plans are useless, but planning is indispensable."

- Dwight Eisenhower

Living in the turbulent times of the mid 20th century, Dwight Eisenhower exemplifies a perfect example of what is termed a 'great leader'.

Born in Texas and raised in Kansas "Ike" graduated from High School and was enrolled into the United States Military Academy at West Point in June 1911, from where he graduated in 1915.

During World War 1, he was the leader of the new tank corps and rose to the brevet rank of Lieutenant Colonel. He spent the entire war training tank crews and never saw combat.

In 1942 he was appointed Commanding General, European Theatre of Operations (ETOUSA) and was then based in London. Late in that year he was also appointed Supreme Commander Allied (Expeditionary) Force of the North African Theatre of Operations (NATOUSA). In December 1943, it was announced that Eisenhower would be Supreme Allied Commander in Europe and then in January 1944, he resumed command of ETOUSA and the following month was officially designated as the Supreme Allied Commander of the Allied Expeditionary Force (SHAEF), serving in a dual role until the end of hostilities in Europe in May 1945. In these positions he was charged with planning and carrying out the Allied assault on the coast of Normandy in June 1944 under the code name Operation Overlord; the liberation of Western Europe; and the invasion of Germany.

As recognition of his senior position in the Allied command, in December 1944, he was promoted to General of the Army, equivalent to the rank of Field Marshal in most European armies. In this and the previous high commands he held, Eisenhower showed his great talents for leadership and diplomacy. Although he had never seen action himself, he won the respect of front-line commanders. He dealt skillfully with difficult subordinates such as Omar Bradley and George Patton, and allies such as Winston Churchill, Field Marshal Bernard Montgomery and General Charles de Gaulle.

Following the end of WWII, Eisenhower went on to serve as President of the United States from 1953 to 1961.

He died on March 29, 1969 and was buried at Abilene, Kansas.

Eisenhower's greatest moments of leadership were evidenced best during the years of World War Two. In his role as Supreme Commander Allied Forces, his tactful, diplomatic and insightful leadership style not only helped lead the Allies to victory, but enabled him as leader, to deal with the various cultural and personal differences of the forces under his command.

Eisenhower was an inspiring and effective leader, indeed a model of leadership. He was primarily a planner, conciliator, compromiser, and public relations figure; but these managerial qualities were essential for the leadership of a vast mid 20th century wartime coalition. A man of democratic simplicity and outgoing warmth, he was regarded also as a tough, decisive military leader. He deliberately projected an image of the folksy farm boy from Kansas. But in fact he was capable of a detached, informed, and exhaustive examination of problems and personalities, based on wide and sophisticated knowledge and deep study. He projected a posture of being above politics, but he studied and understood and acted on political problems and considerations more rigorously than most lifelong politicians ever could. As a military strategist Eisenhower was no Douglas MacArthur but as a military diplomat he had no equal. He knew how to get people to work together as a team and he empowered others to do their best.



An example of Eisenhower's leadership skills is noted in the following segment:

General of the Army Eisenhower Forms SHAEF

During World War II, one of General Eisenhower's duties as Supreme Allied Commander in the European Theater of Operations (ETO) was to form his theater headquarters, the Supreme Headquarters, Allied Expeditionary Force (SHAEF). General Eisenhower had to create an environment in this multinational headquarters in which staff members from the different Allied armies could work together harmoniously. It was one of General Eisenhower's toughest jobs.

The forces under his command—American, British, French, Canadian, and Polish—brought not only different languages, but different ways of thinking, different ideas about what was important, and different strategies. Eisenhower could have tried to bend everyone to his will and his way of thinking; he was the boss, after all. But it's doubtful the Allies would have fought as well for a bullying commander or that a bullying commander would have survived politically. Instead, he created a positive organizational climate that made best use of the various capabilities of his subordinates. This kind of work takes tact, patience, and trust. It doesn't destroy existing cultures but creates a new one.

Eisenhower's creation of SHAEF during World War II is an outstanding example

of coalition building and sustainment. As previously stated, General Eisenhower insisted on unity of command over the forces assigned to him. He received this authority from both the British and US governments but exercised it through an integrated command and staff structure that related influence roughly to the contribution of the nations involved.

The sections within SHAEF all had chiefs of one nationality and deputies of another.

He also insisted that military, rather than political, criteria would predominate in his operational and strategic decisions as Supreme Allied Commander. His most controversial decisions, adoption of the so-called broad-front strategy and the refusal to race the Soviet forces to Berlin, rested on his belief that maintaining the Anglo-American alliance was a national interest and his personal responsibility. Many historians argue that this feat of getting the Allies to work together was his most important contribution to the war.

Appendix C – Examples of Leadership Elements

Confidence

...“His (*Eisenhower's*) self-confidence inspired confidence in him. When Associates, be they superiors or subordinates, described Eisenhower, there was one word that almost all of them used. It was trust. People trusted Eisenhower for the most obvious reason – he was trustworthy. Disagree as they might (and they often did) with his decisions, they never doubted his motives. Montgomery did not think much of Eisenhower as a soldier, but he did appreciate his other qualities. While he thought Eisenhower intelligent, “his real strength lies in his human qualities... He has the power of drawing the hearts of men towards him as a magnet attracts the bit of metal. He merely has to smile at you and you trust him at once”

With his staff and with his troops, with his superiors and with his subordinates, as with foreign governments, Eisenhower did what he said he was going to do. His reward was the trust they placed in him. Because of that trust and because of the qualities he possessed that bought it about, he was a brilliant choice as Supreme Commander, Allied Expeditionary Force, quite possibly the best appoint Roosevelt ever made....”

*THE VICTORS: The Men of World War
II
Stephen E. Ambrose (author)*

Communicates

(...It helps build consensus and is a critical tool for successful operations in diverse multinational settings. Successful leaders refine their communicating abilities by developing advanced oral, written, and listening skills....)

(some excerpts from) **Captain's Personal Journal: Lesson on "Communication". Stardate 45071.1. En Route to Lya Station Alpha**

We have just departed Solarion IV where we picked up survivors from an apparent Bajoran terrorist attack, and we are now en route to Lya Station Alpha. I will use some of our transit time to record what I believe to be important lessons in communication that stem from our encounter with the Children of Tama.

- Broadly considered, effective communication is the single most important element in resolving a crisis situation. Effective communication is also the single most important factor that can prevent a crisis situation.
- To be an effective communicator, you do not always have to agree with other people. However, it is important that you tolerate your differences with them.
- Judging by body language, tone of voice, facial expressions and gestures alone, one can often misinterpret people of different cultures and ideology. For this reason, it is vital that you not allow your nonverbal expression to cause another to misinterpret your message.
- If one fails to listen to what another is saying, one will often fail to properly respond to what has been said.
- The use of forms of advanced technology inherently removes emotion from what is being said. However, no technology is capable of removing the sting from what has been improperly stated.

And by way of concluding these lessons in communication,

- Always bear in mind that no matter the means by which messages are

given or received, your method of communicating must allow messages to be understood. Indeed, effective communication is the lubricant of effective leadership

I assure you that as a Starfleet officer you can never become an effective leader without being understood or without understanding those upon whom you rely. Make it so.

CAPT Jean Claude Picard

U.S.S. Enterprise NCC 1701-D

Selfless Service

General of the Army George C. Marshall served as Army Chief of Staff from 1939 until 1945. He led the Army through the buildup, deployment, and worldwide operations of World War II. Chapter 7 outlines some of his contributions to the Allied victory. In November 1945 he retired to a well-deserved rest at his home in Leesburg, Virginia. Just six days later President Harry S Truman called on him to serve as Special Ambassador to China. From the White House President Truman telephoned General Marshall at his home: "General, I want you to go to China for me," the president said. "Yes, Mr. President," General

Marshall replied. He then hung up the telephone, informed his wife of the president's request and his reply, and prepared to return to government service. President Truman didn't appoint General Marshall a special ambassador to reward his faithful service; he appointed General Marshall because there was a tough job in China that needed to be done.

The Chinese communists under Mao Tse-tung were battling the Nationalists under Chiang Kai-shek, who had been America's ally against the Japanese; General Marshall's job was to mediate peace between them. In the end, he was unsuccessful in spite of a year of frustrating work; the scale of the problem was more than any one person could handle. However, in January 1947 President Truman appointed General Marshall Secretary of State. The Cold War had begun and the president needed a leader Americans trusted. General Marshall's reputation made him the one; his selflessness led him to continue to serve.

Loyalty

The entire career of Chaplain (Major General) Francis L. Sampson epitomizes the first of the SFMC's Seven Core Values -- Loyalty. It was a career in which Chaplain Sampson bore true faith and allegiance to the United States Constitution, the Army, and other soldiers. It began in 1942 when Father Sampson, a Roman Catholic priest from Des Moines, Iowa, received permission from his bishop to enter the U.S. Army. After initial training at Harvard University, where the Chaplain School was then situated, he volunteered for an airborne assignment.

It was a decision that would define the rest of his life. It was also a decision, he wrote later that was made out of ignorance. "Like a zealous young businessman, starting out in a strange town," he admitted, "I was ready to join anything out of a sheer sense of civic duty." Had he known what being a paratroop chaplain entailed, he confessed, he would have made a different choice.

He joined the 501st Parachute Regiment, of the 101st Airborne Division, as its regimental chaplain. Taking part in the invasion of Normandy in June 1944, Sampson's exploits were recorded by historians such as John Toland and John

Eisenhower. He became almost a legend.

Taken prisoner initially at Normandy and almost executed by the SS, he was rescued at the last minute and returned to his unit. He jumped into Holland as a part of Operation Market Garden. Finally, he was caught up in the fighting during the Battle of the Bulge, and taken prisoner for a second time. This time there was no escape, and Chaplain Sampson spent the next four months as a prisoner of war.

His Army career continued after WWII, this time with the 82nd Airborne Division, with which he served during the Korean War, and in 1951 taking part in a massive airdrop in North Korea.

This extraordinary career was capped in 1967, when at the age of 55, and a veteran of 25 years of Army experience, Chaplain Sampson was appointed as Chief of Chaplains of the United States Army.

Chaplain Sampson saw no conflict between being a priest and a soldier. He felt that, "they are both called to the identical things -- that is -- the preservation of peace, the establishment of justice when it has been lost, and the providing of security with protection for the weak and the innocent."

Chaplain Sampson's life and career truly exemplify his loyalty and service "*For God and Country*"

Presence

The well known and well respected Erwin Johannes Eugen Rommel ("the Desert Fox") was more noted for his tenacity and daring than his skill as a commander. But it was the image he portrayed on the battlefield that helped secure him a worthy reputation that continues long after his death. Respected by his enemies and well-loved and honored by his subordinates, Rommel was very typical of a leader with *presence*.

During the North African campaign in World War 2, Rommel dressed the part in his medal-draped uniform with tanker goggles perched on his forehead, leading from the front. Advancing with the lead armored forces, Rommel ignored personal risks to gain first-hand knowledge on which to base instant decision. Soldiers, not accustomed to seeing generals on the front lines, fought valiantly and tenaciously because of their devotion to, and affection for, their leader.

"-He had the strength of a horse," said a young German paratroop officer, himself a skiing champion. "I never saw another man like him. No need for food, no need for drink, no need for sleep. He could wear out men twenty and thirty years younger. If anything, he was *too* hard, on himself and everyone else."

Wherever Rommel went – to the troops in the front-lines; the wounded men in the hospitals; the sappers and engineers working on the "Atlantic Wall"; the officers gathered around him at the official functions in Paris and Berlin – he inspired by his mere presence. His reputation, manner, military bearing and personality - all projected an aura that the men around him could not but respond to.

Personal Courage

Acknowledged widely as the outstanding soldier of the Second World War, Captain Charles Upham is the only combatant soldier to receive the Victoria Cross and Bar (awarded to members of the armed forces of the Commonwealth for exceptional bravery). In Crete in May 1941 and the Western Desert in July 1942 Upham distinguished himself with displays of 'nerveless competence'.

While most medals for bravery are awarded for a single act, Upham's first citation

was for nine days of skill, leadership and evident heroism. In March 1941, he was a Second Lieutenant in the 20th NZ Battalion in Crete. His display of courage included destroying numerous enemy posts, rescuing a wounded man under fire and penetrating deep behind German lines, killing twenty-two German soldiers on the way to leading out an isolated platoon - all after being blown over by a mortar shell, painfully wounded in the shoulder by shrapnel and with a bullet in his foot.

The incident that typified Upham's deeds was when two German soldiers trapped him alone on the fringes of an olive grove. Upham (on his way to warning other troops that they were being cut off) was watched by his platoon, a helpless distance away on the other side of the clearing, as he was fired on by the German soldiers. With any movement potentially fatal, he feigned dead and with calculated coolness waited for the enemy soldiers to approach. With one arm lame in a sling, he used the crook of a tree to support his rifle and shoot the first assailant, reload with one hand, and shoot the second who was so close as to fall against the barrel of Upham's rifle.

Captain Upham's second citation was for his part in the July 1942 attack on Ruweisat Ridge, Egypt, where the New Zealand Division was stranded when promised armored support never came through. As the Allied forces struggled to hold the line, Upham led his company on what was described as a savage attack on German and Italian strongpoints. Upham himself was responsible for destroying a German tank and several guns and vehicles with hand grenades and, though he was shot through the elbow with a machine gun bullet and had his arm shattered, he went on again to a forward position and brought back some of his men who had become isolated.

When King George VI enquired to Major-General Kippenberger whether Upham deserved a Bar to the Cross, Kippenberger replied, "In my respectful opinion, sir, Upham has won the VC several times over." The Complete Australian and New Zealand Victoria Cross Reference affirms that "without doubt Upham remains one of the most courageous leaders of any modern conflict". Charles Upham was unassumingly a true edge warrior.

Appendix D – Starfleet Commanders: Leadership Examples From the Fleet

From the first explorers into space until the leaders of today, Starfleet captains have faced many unique challenges, personalities and approaches to managing their ships and stations. While many of the trials these men and women faced are now more commonplace to all who command, more often as not these Starfleet officers were confronted with situations that in many cases were unprecedented. Invisible forces; invaders wielding superior technology; magnetic storms – all are but a few of the diverse and confrontational dilemmas that created the demand for skill in leadership from these officers.

Individual captains brought different styles to their commands and each of the styles of the leaders chosen for this section, provide examples and lessons for any leader of today.

The five captains selected have been chosen on the basis not only because of the prolific detailing of their journals, but because in many cases, these captains crossed new boundaries and horizons which ultimately led them into unique and unprecedented challenges - which in turn created demands of leadership that were not easily resolved by any Starfleet leadership manual.

The leaders chosen (in chronological service order) are:

- Johnathan Archer of the Enterprise (NX-01) Service: 2151 to 2161
- James T. Kirk of the USS Enterprise (NCC-1701 through NCC – 1701A) Service: 2264 to 2293
- Jean Luc Picard of the USS Enterprise (NCC -1701D through NCC-1701E) Service : 2363 through (active as at 2380)
- Benjamin Sisko of Deep Space Nine. Service : 2369 to 2375 (missing)
- Katherine Janeway of the USS Voyager (NCC -74656) Service: 2371 to 2378

As a group, these leaders dealt with unexpected encounters, crew problems and planetary governments to name but a few - all of which required decision-making skills and information that were needed to help make the right decisions. The degree of constant change these officers faced meant that every day a new solution was required to solve the issues at hand. Sometimes, even with the best information, it is difficult for a leader to know how to deal with unexpected and changing situations. In many cases, the leaders in these examples would merely 'put up their shields' when faced with a situation that required them to react instantaneously.

And while the defense of their ship/station and her crew were all important, such a reaction also enabled the leader to gather the time required to enable them to better analyze the threat/problem and thus make a more informed decision on how best to deal with the situation.

But while these officers reacted cautiously as their training had demanded, they also remained open to any situation and did not simply 'dig in' defensively. Channels of communication were always kept open to gather information about a situation which then assisted them in determining how to proceed. They realized that not every unexpected encounter or changing situation presented danger, and that sometimes these situations provided opportunities.

They were thus able to use this to their advantage as they well knew that change can enable improvements and innovation.

When it came time to dealing with different groups within their crews, or from planetary civilizations, these leaders needed to practice diplomacy. Even the more action-orientated leaders like James Kirk and Jonathan Archer had to learn during their service, to negotiate and to bring groups together.

This group of leaders also provides us with good examples of when to take a stand and when to work on a mutually satisfactory solution.

To guide their actions, all of the officers following Captain Archer had orders to stay within the *Prime Directive*.

As we know, this Starfleet edict requires captains to avoid interfering in the social and technological evolution of any planet and civilization that they meet. As a leadership guideline, this shows the importance of establishing a set of goals, objectives, and policies. Guiding principles will help any leader to identify what needs to be achieved in any situation.

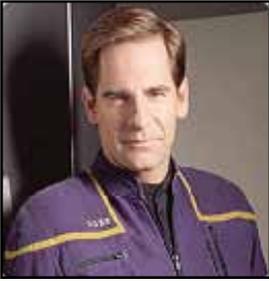
As a result of following the Prime Directive, Starfleet shows a common face to the planets and civilizations it encounters. The example here is that leaders need to communicate their guiding principles and show consistency in order to avoid differences between their stated goals and the actions of their subordinates and other staff.

Regardless of the situation, the Starfleet captains used in this exercise looked to their ships' technology and their crews to gather information before acting. Each ship had sensors to provide the captains with data about whatever ship or planet they encountered. The captains relied on their crews to interpret that data to provide the information needed to make decisions. While they often acted quickly, they did not act rashly. This is an important lesson for other leaders to follow.

Leaders should identify their information needs and determine what data is available for them to address those needs. All organizations have available data. The key is for leaders to determine what is the most consistent and usable data. Leaders should also identify the subordinates who understand the data and can provide the best analysis of that data. Once leaders receive the information they need, they should use it to make a decision that fits within the pre-set guidelines to achieve goals and objectives.

Each of these Starfleet officers faced their own challenges with their own management styles. They all succeeded in inspiring their crews and getting the most from them in sometimes difficult situations. Other leaders can learn from these captains and use some of their lessons to be successful. Whether it was dealing with a blow from an unseen force or finding a way home through uncharted space, the captains used their resources and abilities to solve problems and face challenges. The captains provided lessons to today's SFMC leaders on how to deal with difficult and changing situations. All of the captains used their resources and available information to make informed decisions to guide their ships. Marine leaders can use similar techniques to lead their projects.

THE LEADERS



Jonathan Archer: Archer was chronologically the first Starfleet leader, commanding earth's first deep space exploration mission. He had to 'write his own book.' Having only the most general of directions from his superiors, and no knowledge of the conditions he would face until events occurred, he had to constantly think on his feet.

His journeys on the first USS Enterprise were many years before any of the other leaders quoted in this resource. And although his travels were well before those of James T. Kirk, Archer faced a number of challenges similar to those of Captain Janeway whose

own leadership challenges were faced many, many years after. While Archer's mission was more clearly defined, he was the first human captain to set out in a starship. He made a number of the rules that the later captains followed. SFMC leaders of today, dealing with new technology find themselves in this situation. New, cutting-edge technologies become stable, old technologies. The lessons learned in the first projects with new technologies are vitally important to future successes.

All of the captains listed here kept a log that contained their lessons learned in both success and failure. None of these logs was more important than Archer's. He set the standards for the captains that followed. New SFMC leaders do the same. Keeping track of their project's challenges and successes, they set the standard for future leaders.

Captain Archer had help in facing his mission of exploring intergalactic space for the first time. The Vulcans were long-time explorers that offered their assistance to the fledgling human explorers. Organizations such as the SFMC have leaders with project experience. Thus an organization should use these leaders to mentor the new projects. If an organization has an established process improvement program, it is likely that there will be lessons learned data from past projects. A process improvement group can also serve the Vulcan role in assisting the new project as it enters the unknown. New project leaders should not be hesitant to ask for help. That is what the process improvement group and the lessons learned from past projects are intended to provide.

With even less experience behind him than Benjamin Sisko, Captain Archer was a true pioneer. His lessons learned can be directly applied to new projects taking on brand new work or using new technologies and processes.

Leadership Quotes from Archer:

- "As captain of this ship, I'm the one who's responsible for everyone aboard. There aren't many people I'd willingly turn that responsibility over to. You're one of them."
-Capt. Jonathan Archer to Phlox, the ship's physician

(Leadership principle: DELEGATE)



James T. Kirk: Kirk was the model of an energetic, “lead from the front” commander. An out of the box thinker, he never let rules or regulations keep him from getting the job done. He led every crew excursion to new planets and took an active role in all interactions with new civilizations. Captain Kirk also relied heavily on his crew, especially his science officer, chief engineer, and doctor. He pushed them all to succeed but depended on their counsel to help him make decisions. His crew knew who was in charge, but responded to his call for their input and did their best to answer his needs. From Captain Kirk, SFMC leaders can learn the power of involving and empowering their staff.

Captain Kirk had one talent unmatched by any of the other captains: No one handled being struck by an invisible force like James T. Kirk. Whether it was an energy blow, a psychic blow or some other kind of unseen force, Captain Kirk might double over in pain, but he would push through it to complete his mission. Leaders often find themselves assaulted by unexpected unseen forces. These forces often cause pain and impact on schedules, staffing, and quality. Like Captain Kirk, leaders must find a way through unanticipated problems to reach their goals.

Staffing issues can become major problems for leaders who need to ensure that the right people fill the right roles in any group. Sometimes this includes subordinate leaders. In the Corps, it is not uncommon to promote an outstanding marine into a ‘management’ position because they have reached the top of their technical pay scale. While any marine may have outstanding technical skills, they may not make a good leader. Captain Kirk had to deal with outbursts from Dr. McCoy that all came down to something like, *Darn it, Jim! I’m a doctor, not a (insert occupation)*. Units may find themselves hearing the same thing from newly promoted leaders. Just as Captain Kirk had to lead Dr. McCoy through those difficult situations, organizations need to mentor new leaders through the learning curve of their positions.

The downside to Kirk’s method is that his total *hands-on* approach created a management bottleneck – everything had to funnel through Kirk. As McCoy is reported to have told him in one instance, *You’re pushing, Jim. Your people know their jobs*. The Kirk approach, then, would not work in a diverse environment where marines need to be more autonomous. The Kirk method is more appropriate in a tight, geographically identical team with a culture of strong leadership.

Leadership Quotes from Kirk:

- *“The man on top walks a lonely street; the ‘chain’ of command is often a noose.”*
- *“One of the advantages of being Captain is being able to ask for advice without necessarily having to take it.”*

(Leadership principle – BEING A LEADER)

- *“Khan. Khan, you’ve got Genesis. But you don’t have me! You’re going to kill me Khan, you’re going to have to come down here. You’re going to have to come down here.”*

(Leadership Principle – TAUNTING A RIVAL)

- *“If I may be so bold, it was a mistake for you to accept promotion. Commanding a starship is your first, best, destiny. Anything else is a waste of material.” - Spock, to Kirk*

(Leadership Principle – ALLOWING A SUBORDINATE TO SPEAK FREELY)

- *“Not one hundred percent efficient, of course...but nothing ever is.”*
- *“Genius doesn’t work on an assembly line basis. You can’t simply say, ‘Today I will be brilliant.’”*

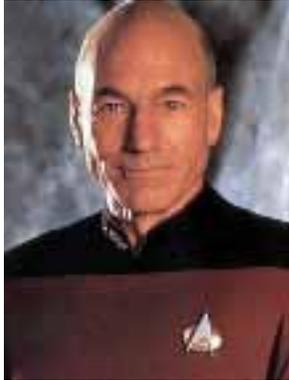
(Leadership Principle – SETTING REALISTIC GOALS)

- *“Intuition, however illogical, is recognized as a command prerogative.”*

(Leadership Principle – USING INTUITION)

- *“Without freedom of choice there is no creativity”*

(Leadership Principle – CREATIVITY)



Jean Luc Picard: At first glance, Picard's leadership style strikes us as a stuffy, 'by the book' prude. His strong points, however, were that he had high ethical and performance standards for the crew of his *Enterprise*, which he applied first to himself, and he recognized his interpersonal flaws and took steps to mitigate them. He also demonstrated effective techniques for balancing personal relationships with duty in his not so secret crush on the ship's doctor, Beverly Crusher.

While Picard commanded a new version of the same starship as Captain Kirk he led with a different style. Captain Picard was a more stoic commander. While he showed humour and compassion at times, he clearly held the position of authority on his ship. His approach made use of his resources in a different way than Captain Kirk.

Changes to Starfleet regulations in the intervening years meant that Captain Picard would be required to send an away team to any encounters on new planets. His crew entered the dangerous situations and explorations. They would relay information to the ship where Picard could lead them based on what they provided. Picard showed leaders how to gather and use data better than any other Starfleet captain. He would collect the data from his away team and then issue an order to *make it so*. That is not to say that Picard was uninvolved. He allowed his people to explore and deal with situations, but he always stayed informed and would act when the time was right. He was less likely to jump into a situation the way that Captain Kirk would but used his staff and information to their best potential.

In opposition to the weakness of Kirk's approach, Picard's *hands-off* approach also had a drawback: While he allowed his staff to stretch and grow and handle all the issues they could on their own, he often kept vital information to himself. From time to time, this created a sense of confusion in the crew as to the captain's intents. Leadership using the Picard style, therefore, is best suited to a large, process-centric, either geographically identical or diverse team, and requires strong communication skills from leadership.

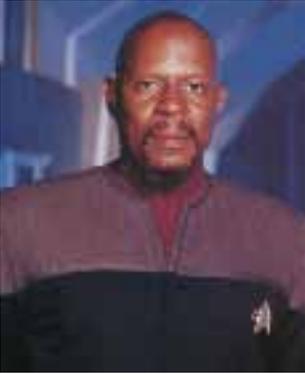
Leadership Quotes from Picard:

- *"We must anticipate, and not make the same mistake once."*

(Leadership Principle – PLAN AHEAD)

- *"Things are only impossible until they're not."*

(Leadership Principle – CREATIVITY)



Benjamin Sisko: The commander of *Deep Space Nine*, Sisko was a master at effectively motivating and leading a diverse work force. His greatest strength was his ability to delegate tasks, with full authority, to others, while retaining responsibility for them. He also demonstrated extensive skill in conflict resolution as he maintained peaceful relations between the various species in his quadrant of space.

But as the commander of the base he also found himself isolated from the mainstream of the Federation and was forced to deal with warring factions. Placed between the Cardassians and Bajorans, Sisko had to be well versed in diplomacy. Taking over the base from the Cardassians, Sisko dealt with the transition from the old rule to the new Bajoran independence.

SFMC leaders can find themselves in this same situation as projects change over time. It is not unusual for existing projects to convert to a new plan or to use new technology. This often means starting a project within a project. The old guard and the new project compete for the same resources and the same attention from the project leader. That leader could learn a lot from the way Sisko balanced the needs of the new Bajoran majority with the needs of the withdrawing Cardassians. Both the new project and the old project need the leader's attention.

The old project needs to be assured that its work still has value to the organization while the new project needs the leader's assistance in getting established. The project planning and management knowledge that made the old project successful should be applied to the new project. Doing this ensures that the new project has some structure to its efforts. It also helps to open a communication line between the two projects to ensure the new group learns from the existing group and carries successful approaches forward into the new effort.

Leaders who find themselves isolated like Commander Sisko can use that to their advantage by trying new things that may not be as easy to try from the middle of a large corporate structure like the Federation. Leaders must keep the Corp's goals, objectives, and policies in mind when trying new things, but they also need to experiment and try new methods to fit changing situations. What worked for them before may not work with the next challenge. They must be open to new ideas.

Thrust into the situation at Deep Space Nine, Commander Sisko had a Bajoran as one of his key staff members. Her insight into the problems of her people and their needs helped him in his efforts to manage the situations he faced. Similarly, leaders will usually find that the best ideas will come from their staff. Marine leaders should look for opportunities to gather ideas from the staff. The people who perform the day-to-day functions of a project know what works best and what needs improvement. Leaders should take every opportunity to get their input.

Officers and other leaders who have taken over leadership of an experienced team can probably identify with Sisko. His greatest weakness was also the source of his greatest strength: inexperience. He was forced to bring order to individuals from diverse groups that brought different skills and biases to the team. As a new leader, he entered the situation with no preconceived notions that could hinder his efforts. Sisko's lessons learned, then, would best be applied to a radically diverse group working in an uncertain environment. A good example would be an integrated project team made up of individuals from different areas within the Corps who are brought together to start a new project. The project manager of such a group should always be willing to try new ideas and think outside the station.



Kathryn Janeway: Captain of the *Voyager*, lost in the unknown Gamma Quadrant, Janeway epitomized the leader who is comfortable with change and uncertainty. She demonstrated a steady focus on her mission and the ability to communicate her vision to her followers.

The captain of the *Voyager* faced a unique situation in the Starfleet. She found her ship and crew mysteriously transported across the galaxy to uncharted space. Her mission was to find a way home. SFMC leaders of new projects within their unit or group can feel this same way. This is especially true if the project is something new that the unit or even the Corps, has never tried before.

This often happens with new development projects using new doctrine or new equipment or technology. Leaders are forced to set their own direction. These projects usually depend on experts in the new technology. Their opinion often drives the course of the project. Leaders need to focus this knowledge and expert opinion to meet the project's needs.

Captain Janeway relied on the expertise of her crew to deal with resource shortages, equipment needs, and unexpected challenges. She pushed the creativity of her staff to deal with problems. Leaders and managers of new projects need to encourage and foster creativity. This will help them find their way to a successful outcome, as the creativity of Captain Janeway's crew helped them find their way home.

Of all the Starfleet leaders quoted in this document, it is considered that the leadership style of Captain Janeway was that which epitomized best the leadership qualities inherent in a true leader. 70,000 light years from home; a crew made up of Starfleet regulars and Maquis renegades – Janeway kept them all together and performing to the best of their abilities until she found an eventual way home.

While Janeway's style may work for other kinds of teams, it is best when directed specifically to small, maneuverable teams. This style, while effective at uniting a small group of individuals to achieve a common goal, may not apply to larger groups.

SUMMARY

Along with their unique personality traits, each of these Starfleet leaders had some common characteristics that are essential for all effective SFMC leaders.

- **Focus on people.** Their crews were not mere tools to be used to accomplish a mission, but unique individuals, each with a contribution to make.
- **Ability to communicate.** Whether with members of their crews, or with alien species encountered during their missions, each had the ability to get their message across effectively.
- **Willingness to take risks.** From the rash Kirk to the stolid Picard, a common trait of each of these captains was the courage to “go where no one had gone before,” and the ability to make decisions with whatever limited information was available to them.
- **Honesty and integrity.** Their subordinates could trust what they said, because they lived up to the standards they set. Each of them ‘walked the talk.’

In the 24th century, we face many ‘frontiers.’ As we prepare to go even further than where humanity has never gone before, it might just be useful to dust off those old USS Enterprise or USS Voyager mission files - or dig up a vid-file or comp-file or two from the SFMC Resource library on the *Command Issues of Deep Space Exploration* shelf – or take a refresher course on what is required to be an effective leader in the face of unknown challenges.

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About the SFMC Academy

The Starfleet Marine Corps Academy was established by Commander Starfleet in 2164 when it was determined that Starfleet Academy could no longer adequately meet the needs of both services. The historical home of the United States' Navy and Marine Corps academies, Annapolis, was selected as the new home of the SFMCA. The head of the Academy, known as DCO-Academy, TRACOM, is still headquartered at the main campus in Annapolis. The motto of the SFMCA is "Facta Non Verba" or, in Federation Standard, "Deeds not Words." This is reflected in the more informal academy slogan, "We lead by example... whether we mean to or not." The DCO-Academy, TRACOM reports to the Commanding Officer of the Training Command (COTRACOM) who, in addition to the SFMCA, oversees branch schools, enlisted personnel training, advanced technical schools, and periodic skill re-fresher courses. Most of these courses are held either at one of the SFMCA facilities, or at one of the many training facilities in the New Valley Forge system which is home to TRACOM. These facilities, together with an Oberth-class spacedock serving as TRACOM headquarters, comprise Station Valley Forge. Today, the SFMCA consists of 5 campuses, 8 training worlds, and 42 ranges and field courses throughout the UFP. Together with Station Valley Forge, the SFMCA comprises one of the largest and most advanced military training organizations in the known universe.

