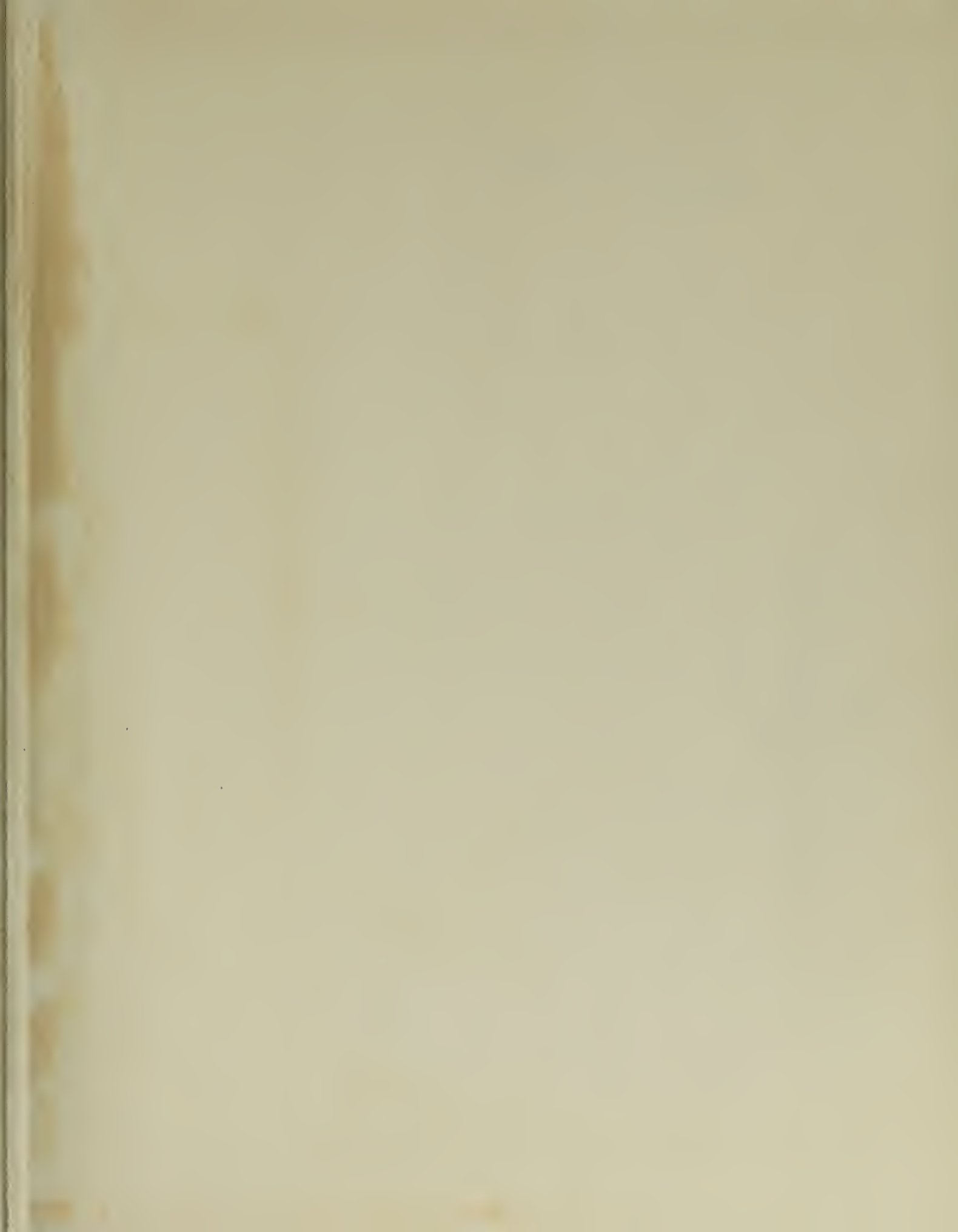


ADMINISTRATIVE FACTORS AFFECTING  
MORALE ABOARD SHIP.

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ADMINISTRATIVE FACTORS  
AFFECTING MORALE  
ABOARD SHIP

A Thesis

Presented in Partial Fulfillment  
of the Requirements for the Degree  
Master of Science in Public Administration

By

James Lyon Gartner, Jr., B.S.

The Ohio State University

1951

Approved by:

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Adviser

Thesis  
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ALBERTA UNIVERSITY  
EDMONTON  
1951

A Thesis

Presented in Partial Fulfillment  
of the Requirements for the Degree  
Master of Science in Public Administration

BY

James Earl Galt, B.A.

The University of Alberta

1951

Approved by:

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James Earl Galt

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## CHAPTER I

### THE PROBLEM

The increasing emphasis on the personnel function in management is of great importance to the military as well as the civilian administrator. In recognition of this importance the Navy Department sponsors graduate study at selected universities for officers desiring to further their background for duty in the field of personnel administration and training. Selection for and completion of this study does not indicate that an officer will continue to specialize in personnel work for the remainder of his service career. He may anticipate assignment to the Bureau of Naval Personnel and to the larger activities in a staff capacity from time to time, but his primary classification is not changed: he may expect to remain fully eligible for promotion and command responsibilities within that classification. His concern with personnel will be for the most part that of the line administrator rather than that of the staff advisor. As a line administrator a naval officer will be affecting the morale of his organization with his almost every decision. Therefore an academic probe into the field of personnel

CHAPTER I

THE ARMY

The important principle of the personnel function in management is of great importance to the military as well as the civilian administrator. In recognition of this importance the Navy Department sponsors graduate study at selected universities for officers desiring to further their development for duty in the field of personnel administration and training. Selection for and completion of this study does not indicate that an officer will continue to specialize in personnel work for the remainder of his service career. As any individual assignment to the Bureau of Naval Personnel and its larger activities is a staff assignment from time to time, but his primary classification is not changed; he may expect to remain eligible for promotion and command responsibility within that classification. His connection with personnel will be for the most part that of the line administrator rather than that of the staff adviser. As a line administrator a naval officer will be affected the whole of his organization and his almost every decision therefore as he works in the field of personnel.



administration is of great value to the line officer as well as to the officer designated a personnel specialist.

Morale affects performance. Therefore, a systematic study of conditions affecting morale, and use of personnel techniques derived from scientific study, should benefit the service in the long run. Any planned effort should prove better than hunch and improvisation.

Aboard ship, as elsewhere, morale is not static. It is affected from above and below, from within and without the organization. Of the innumerable factors affecting morale, this paper will be concerned with those factors within the control of the shipboard administrator. While it is not intended to establish a dichotomy of "politician-administrator", directives and policies from higher authority will not be subjected to critical scrutiny or analysis. For example, the morale changes effected by the rapid postwar demobilization were largely beyond the control of the shipboard officer, although his awareness and use of administrative techniques and methods available to him could alleviate the situation. It is recognized that matters of policy at one level of command may be looked upon as matters of administration by those at other levels. In the above example, the shipboard administration of demobilization would involve many decisions on the part of the commander that would appear as policy to those subject to his command.

administration is of great value to the line officer as well as to the officer designated a personnel specialist. However, a systematic study of conditions affecting morale, and use of personnel techniques derived from scientific study, should benefit the service in the long run. Any planned effect should prove better than haphazard experimentation.

It is already well known, as elsewhere, morale is not static. It is affected from above and below, from within and without the organization. Of the numerous factors affecting morale, this paper will be concerned with those factors within the control of the military administrator. While it is not intended to establish a hierarchy of "causal chain-of-command", divisions and policies from higher authority will not be subjected to critical scrutiny or analysis. For example, the morale changes effected by the rapid postwar demobilization were largely beyond the control of the individual officer, although his resources and use of administrative techniques and methods available to him could alleviate the situation. It is recognized that matters of policy at one level of command may be looked upon as aspects of administration by those at other levels. In the above example, the individual administration of demobilization would involve many decisions on the part of the commander that would appear as policy to those subjects in his command.

As morale is not static, it may be thought of as constantly improving and declining, as being an operationally defined concept rather than a definite action or series of actions. The level of morale varies with conditions and within the group. So as morale exists in varying degrees of excellence, it is quite proper to question fluctuations of morale within an organization without placing a stigma on those responsible--morale cannot be unvaryingly high.

Recognizing that morale problems do exist in the fleet, it is appropriate to examine the administrative factors affecting them which may be within the control of the shipboard administrator.<sup>1</sup> This examination will involve comparisons with similar factors found in non-military organizations as well as in academic studies of personnel administration and personnel management. It is fully realized that any one method or technique used in the administration of personnel could well be the subject of much writing and research. This paper will not attempt an exhaustive investigation of any one factor but will try to describe and evaluate certain major ones--those that are available to the average naval officer afloat not having special training in the field of per-

---

<sup>1</sup>In general, the term administrator will be used herein with reference to duties performed, rather than with reference to a particular rank level, e.g., commissioned, chief petty, or petty officer.

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sonnel and that are of great importance to the maintenance of high morale.

The final chapter will set forth several conclusions as to the effectiveness of certain practices and suggest possible ways, open to further validation, whereby ship-board administration of personnel may be improved. Such improvement, resulting in a more uniformly high state of morale, can but have a salutary effect on the service.

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The ... of the ...

... of the ...

## CHAPTER II

### MISCELLANEOUS CONSIDERATIONS

Prior to approaching the administrative techniques and methods available to the naval officer afloat, this chapter will, in several short sections, consider miscellaneous matters held to be pertinent to the thesis.

#### 1. Shipboard Organization

In order that further discussions on the functions of the shipboard administrator may be made more meaningful, a typical ship organization and the functions of the principal authorities will be presented. In the interests of simplicity, the organization of a destroyer will be considered in this section although the principles involved are common to all type vessels.<sup>1</sup> The larger types have additional departments depending upon the duties performed; the carrier, for example, has an air department not found on a tender, and the tender has a repair department not found on a destroyer.

---

<sup>1</sup>Many unsubstantiated statements made in this thesis are based on the writer's six years commissioned service, 1943-50, with destroyer type vessels and a destroyer command staff afloat.

CHAPTER II

STUDY OF THE PROBLEM

After an introductory chapter on the history of the problem and methods available for the study thereof, this chapter will, in several short sections, consider the various methods to be employed in the study.

1. Historical Background

In order that further discussion on the formation of the present organization may be made more meaningful, a typical ship organization and the functions of the principal activities will be presented. In the interests of simplicity, the organization of a destroyer will be considered in this section although the principles involved are common to all types vessels.<sup>1</sup> The various types have additional departments depending upon the duties performed; the carrier, for example, has an air department not found on a battleship, and the tender has a supply department not found on a destroyer.

<sup>1</sup>Many unabbreviated statements made in this thesis are based on the writer's six years' experience in the U.S. Navy, also destroyer type vessels and a destroyer command staff alike.





A ship is the responsibility of the commanding officer and his authority is comprehensive; delegation of this authority to his subordinate in no way relieves him of his responsibility for the safety, well-being, and efficiency of his entire command. From this key position in the organization of any naval vessel, we may proceed to define the basic organization of a destroyer. Figure 1 may be taken as representative of the departmental organization of a typical destroyer.

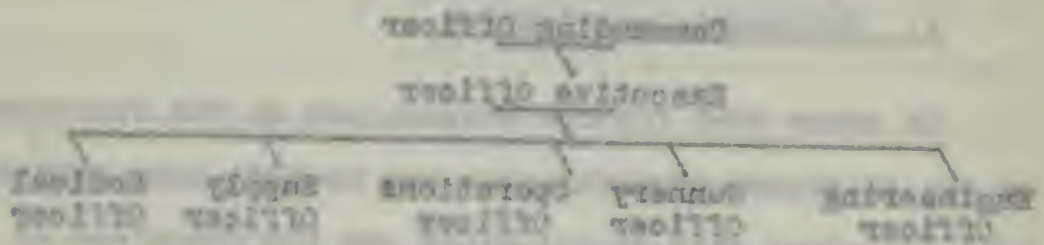


Figure 1.

Positions analogous to that of the executive officer are less commonly found in industrial and non-military organizations. In addition to the names mentioned in this position found in a following section, and in order that the functions of the executive officer may be better understood, the following responsibilities are detailed from naval regulations: The commanding officer shall

U.S. Navy Department, Navy Regulations, (Washington, D.C. Govt. Printing Office, 1928), art. 0701.  
 Ibid., 0702 and 0703-4.

keep the executive officer informed of his policies and normally shall issue all orders relative to the duties of the command through that officer; all orders issued by the executive officer shall have the same force and effect as if issued by the commanding officer; the executive officer shall conform to the policy of the commanding officer and shall keep him informed of all significant matters; all communications of an official nature from a subordinate to the commanding officer shall be transmitted through the executive officer; the executive officer shall not normally exercise his authority in matters which are the specific responsibility of the heads of the various departments except to the extent necessary to secure uniformity and co-ordination of effort throughout the command; the executive officer shall recognize the right and duty of a head of a department to confer directly with the commanding officer on matters specifically relating to his department.

The department head is the representative of the commanding officer in all matters pertaining to his department, and he must conform to the policies and orders of the commanding officer. Similarly, each department head has his division officers with their subordinate divisions.<sup>4</sup>

---

<sup>4</sup>In wartime, the number and size of divisions within the departmental organization expand to administer more efficiently the increased personnel needed to effectively employ all of the ship's armament and equipment on a more continuous basis.

keep the executive officer informed of his position and  
 normally shall issue all orders relative to the duties of  
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 partment, and he must conform to the policies and orders  
 of the commanding officer. Similarly, each department head  
 has his division officers and their subordinate divisions.

<sup>6</sup>In wartime, the navy and the air force with  
 the departmental organization system to which they are at-  
 tached, the increased personnel needed for operations and  
 the all of the ship's equipment and equipment on a very  
 continuous basis.

Taking the operations department as an example, it may be broken down into its typical component divisions as shown in Figure 2.

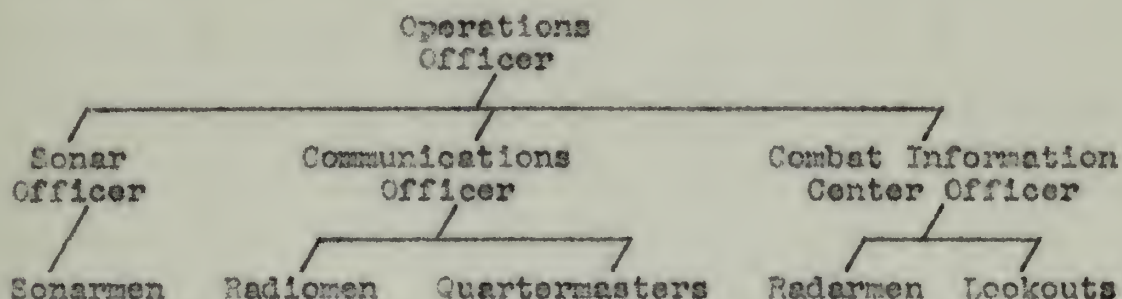


Figure 2.

Thus the operations officer is the commander of the operations department, the sonar officer of the enlisted sonarmen, and each senior petty officer of his assigned men. Down to the lowest seaman, each man has his chain of command through which he receives his orders and through which he is ultimately responsible to the commanding officer.

The administrative organization has been briefly outlined; specialized relationships will not be developed, such as exist between the electronics officer who, under the engineering officer, is responsible for repair of radio equipment and the communications officer who, under the operations officer, is responsible for operation of this equipment. Nor will other internal organizations, such as watch and battle organizations, of primarily

... Taking the operations department as an example, it may be broken down into the typical component divisions as shown in Figure 2.

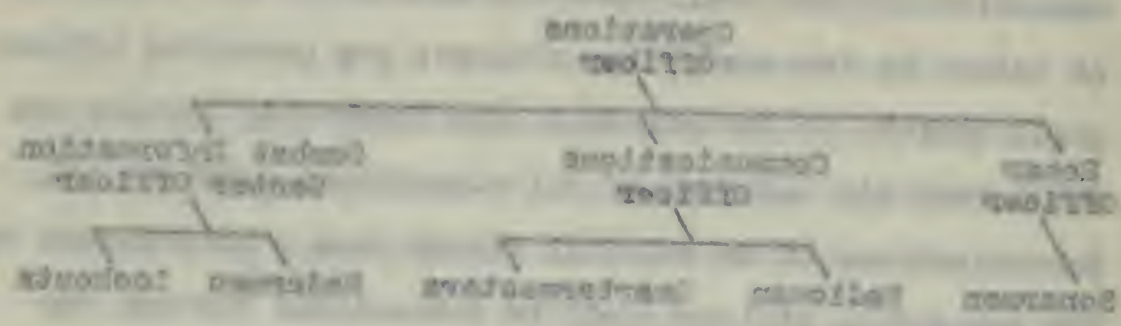


Figure 2.

Thus the operations officer is the commander of the operations department, the senior officer of the unit. He is responsible for the overall performance of the department, and each senior party officer of his assigned unit. Down to the lowest echelon, each man has his chain of command through which he receives his orders and through which he is ultimately responsible to the commanding officer.

The administrative organization has been briefly outlined; specialized relationships will now be developed, such as exist between the electronics officer and the commanding officer, is responsible for repair of radio equipment and the communications officer who, under the operations officer, is responsible for operation of this equipment. Not all other typical organizations, such as with and battle organizations, of friendly

operative nature be developed, although the principles of responsibility and chain of command apply in these instances.

## 2. Morale Defined

Definitions of morale are found in many writings on and in the social sciences. From the psychologist's viewpoint, morale may be considered to be a state of mind evidenced by group solidarity and willingness to submerge individual interests in the group welfare.<sup>5</sup> The student of industrial relations may consider morale to be the mental attitude of employees, including the executive group, which makes them willing, and with initiative, to follow their leaders and to subordinate temporarily their personal aims for their ultimate gain through the success of the company.<sup>6</sup> The political scientist may define morale as " . . . a state of mind in which men and women voluntarily seek to develop and apply their full powers to the task on which they are engaged by reason of the intellectual or moral satisfaction which they derive from their own self-realization, their achievements in their chosen field, and their pride in the ser-

---

<sup>5</sup>D.M. Johnson, Essentials of Psychology, (New York: McGraw-Hill, 1948), p. 467.

<sup>6</sup>M.J. Jucius, Personnel Management, (Chicago: Richard D. Irwin, Inc., 1948), p. 288.

operative nature is involved, through the principle of  
responsibility and chain of command which in these  
elements.

2. Social Justice

Definition of justice is found in any system as  
and in the social sciences. From the psychological view-  
point, justice may be considered to be a state of mind  
evolved by group solidarity and willingness to exchange  
individual interests in the group welfare.<sup>1</sup> The concept  
of industrial relations may consider justice to be the  
social attitude of employer, including the respective  
group, which arises from justice and self initiative, so  
follow their leaders and in subordinate towards their  
superiors and for their welfare also through the success  
of the company.<sup>2</sup> The political scientist may define  
justice as " . . . a state of mind in which men and women  
voluntarily seek to develop and apply their full powers  
to the task on which they are engaged by means of the  
intellect or moral conviction which they derive  
from their own self-conviction, their achievements in  
their human field, and their pride in the work."

---

<sup>1</sup> D. E. Johnson, Handbook of Psychology, New York  
Forum-III, 1948, p. 407.  
<sup>2</sup> G. L. Taylor, Industrial Management, (Chicago: Rand  
P. Series Inc., 1948), p. 107.



vice . . . .<sup>7</sup>

While other definitions could be mentioned, the three given above serve to indicate how the subject is approached according to the interests of the writer; leaders in other fields might define morale differently. The point of major agreement is that morale is a state of mind and therefore not directly measurable. It is reflected, however, in the attitudes and actions of the members of an organization.

It has been said that morale is a lot of little things. Probably nothing comes closer to describing accurately this important factor, because everything that makes a man feel well and satisfied builds up his morale, and everything that bothers him as an individual can lower his morale.<sup>8</sup>

The objectives of an organization should be considered before attempting a definition of its morale. If the objective of the armed forces is considered to be the extension of the national will by force, then it may be well to expand a definition of military morale to include the competitive will to win, beyond the point needed, for example, by organizations such as the Post Office Department. For the purposes of this paper, Professor White's definition, as quoted above, will be used with the addition of a conviction of excellence and a will to win on the part

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<sup>7</sup>L.D. White, Introduction to the Study of Public Administration, (3rd ed.; New York: MacMillan, 1949), p. 471.

<sup>8</sup>U.S. Naval Academy, Naval Leadership, (Annapolis: U.S. Naval Institute, 1949), p. 232.

view . . .

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given above serve to indicate how the subject is approached  
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other, or organization such as the New Office Department.  
For the purpose of this paper, however, words will  
stand, as good words, will be used with the addition of  
a conviction of meaning and a will to win on the part

U.S. Army, Department of the Army, Office of the Adjutant General, 1941, p. 100.  
U.S. Army, Department of the Army, Office of the Adjutant General, 1941, p. 100.

of the group as necessary elements to distinguish military from civilian morale.

Military service is our most ancient public institution . . . In the history of the world, no free people has ever existed without it . . . Far from being a characteristic of imperialism, military service is the very cornerstone of the structure of democracy. Where the liberties of the people are the greatest responsibility of the government, there must be people trained and ready to defend these liberties.<sup>9</sup>

The significance of high military morale will not be belabored other than to mention that when the nation depends upon its armed forces for its survival nothing short of the highest morale is acceptable. High morale is indispensable to a successful fighting group. While negative instances will not be cited here, an outstanding positive one, the U. S. Marine Corps with its famed esprit de corps, is well known.

### 3. Leadership

This section will consider the concept of leadership as cutting across all activities and all levels in the service, as being not an affecting factor, but rather an essential determiner of morale. Some hold that:

The single most important factor in the attainment of high morale is the quality of leadership exercised by the commanding officer. Expert leadership and high morale are inseparable.<sup>10</sup>

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<sup>9</sup>Ibid., p. 188.

<sup>10</sup>L.A. Pennington, R.B. Hough, Jr., and H.W. Case,

At the time it is necessary to distinguish clearly

from divided worlds.

Highly developed and most ancient public  
institutions. In the history of the world,  
the first public has ever existed almost 17,000 years  
ago from being a characteristic of the  
history of man. It is the very essence of the  
structure of society. From the history of  
the people we see the greatest responsibility of  
the government, there must be some kind of  
and ready to defend these institutions.

The attainment of high efficiency means will not be  
delayed other than to action that when the nation de-  
termines upon its own course for the greatest welfare of  
of the highest world in accordance. High world is in-  
dispensable to a successful leading group. This group  
five hundred will not be able to, an outstanding  
possibilities, the U.S. Marine Corps and the United States  
Army, is well known.

2. Leadership

This section will consider the concept of leadership  
as being not an abstract term but all levels in the  
general character of people. Some have said that

The first and foremost factor in the ef-  
fectiveness of high world is the quality of leader-  
ship exercised by the commanding officer. There  
leadership and high world are inseparable.

United States

101.4. Washington, D.C. 20315, 77, and U.S. Army

The significance of leadership in the maintenance of high morale is unquestionably great. This is clearly stated by White:

The life and spirit of an organization do not spring from its structure. Quality depends on the motivations that energize . . . . These are derived in large measure from the character of leadership. Dynamic leadership is reflected in the drive and esprit de corps of the organization; and conversely any group that suffers long periods of uninspired direction is certain to run down--not only physically but spiritually.

Good organization facilitates good leadership but is no more a substitute for it than is a fully equipped company of soldiers a substitute for its commanding officer. Indeed, technically sound structural design may be reduced to "sheer ornament" by numerous variables, including especially this essential element of direction.

In the dynamics of management, leadership is vital . . . . In a large organization the potential capacity for leadership within the never-ending stream of new entrants is considerable. One of the major responsibilities of top management is to take steps to renew itself, indeed to lift its quality to constantly higher levels.<sup>11</sup>

The traditional ship organization, giving the commanding officer great responsibility and authority, offers excellent opportunity for demonstration of leadership. Unlike most non-military organizations, subordinate officers and men as well as the top executive aboard ship are rotated among naval commands frequently: two years in one position is the average tour of duty. As an individual

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The Psychology of Military Leadership, (New York: Prentice-Hall, 1943), p. 255.

<sup>11</sup>White, op. cit., p. 185 and p. 196.

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tension is certain to run down--and only  
physically out eventually.

Good organizations testifies good leaders  
and it is no more a substitute for it than  
is a fully equipped company of soldiers a sub-  
stitute for the commanding officer. Indeed,  
leadership is the central element in the  
design of an organization. It is the  
"heart" of the organization, the source of  
inspiration and energy. It is the  
"glue" that holds the organization together.

In the process of development, leadership is  
vital . . . In a large organization the leader  
is responsible for leadership within the organization.  
The system of new executives is considerable.  
The role of the leader is to create a vision  
and to take steps to create it. Indeed, it  
is the quality of leadership that counts.

The traditional view of leadership, giving the com-  
manding officer great responsibility and authority, allows  
excellent opportunity for demonstration of leadership.  
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tend and can be well as the for executive boards and  
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one position in the average year of duty. As an individual

The Psychology of Military Leadership, New York, 1951, p. 100.

Grant, op. cit., p. 100 and p. 101.

is promoted he may anticipate assignments to positions of greater responsibility with greater opportunities for exercise of leadership qualities. This practice serves the purpose, among others, of increasing the chances that each member of the service will hold positions of higher leadership. Those making poor records for themselves as leaders are less likely to be selected for promotion and top positions. Thus the practices of forced leadership and forced attrition tend to eliminate the unfit. In this manner the Navy Department recognizes the importance of leadership to the service and to its morale. An officer may be an excellent technician, but without a record as a successful leader his chances of selection for top responsibility are slim indeed.

The traditional ship organization further recognizes the need of leadership by establishing the position of executive officer, under the commanding officer, senior to all others within the command. This officer is second in command, has no departmental duties, and is eligible to command if the commanding officer is unable to carry out his duties. In effect, a trained and qualified relief for the commanding officer is readily available. Positive provision for prompt replacement of the top leader is thus incorporated in the standard ship organization.

Leadership at the top, however, is not sufficient to

is provided by my outside assignments to positions of  
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 system of leadership consists, this position covers the  
 scope, every other, of increasing the scope that each  
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maintain a high state of morale throughout the ship. For the commanding officer, if he is not to rely solely on fear or intimidation to compel the organization's efforts, must operate through the morale generated by leadership among his subordinates as well as by his leadership directly; it is of the essence of good leadership that it inspire both loyalty and leadership in others. This leadership must be divided and subdivided until every member of his command is effectively tied into the operation; the petty officer as well as the admiral must be a leader.<sup>12</sup>

As students of industrial relations, Pigors and Myers write;<sup>13</sup>

The successful administrator gets people to work with him, not primarily because he has power over them and can order them about, but because he is the kind of leader for whom they want to do their best.

. . . all the technical competence in the world will not suffice if his subordinates are working against him or grudgingly for him rather than enthusiastically with him.

While this statement applies more to civilian industry than to the administration of a military organization where performance is required by law, it does contain a suggestion to the naval officer. Rules and regulations often support administrators who operate through force and disci-

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<sup>12</sup>Ordway Tead, The Art of Leadership, (New York: McGraw-Hill, 1935), p. 14.

<sup>13</sup>Paul Pigors and C.A. Myers, Personnel Administration, (New York: McGraw-Hill, 1947), pp. 5-6.

maintain a high state of health throughout the year. The  
 the remaining officer, it is to be noted, is to be held in  
 team of individuals in control of the organization's efforts.  
 next operate through the board composed of leadership  
 among the organizations as well as by the leadership dis-  
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 of the command is effectively held into the operation for  
 every effort as well as the initial work to a team. It  
 is a matter of individual relations, of how and how  
 with.

The successful administrator gets people  
 to work with him, not for him. He does not  
 know over how long and under what conditions, but  
 because he is the kind of leader for whom they  
 want to be led.

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Leadership: The Art of Leadership (New York:  
 McGraw-Hill, 1938), p. 18.

Leadership: The Art of Leadership (New York:  
 McGraw-Hill, 1938), p. 18.

plinary action, but the ultimate goals of the organization are greatly weakened by such practices. Aboard ship this weakening may be reflected in such terms as a low percentage of reenlistments and excessive requests for transfer from the command--all symptoms of poor morale. The fact that a member of the naval service cannot take off his uniform and quit (as can most industrial employees having a dislike for the conditions of employment) will not keep him in the service forever, and his dissatisfaction probably will be reflected in his daily performance of duty while he serves his obligated time.

Another student of industrial relations believes the basic efforts for which labor is paid are time spent, energy--physical, mental, and emotional--spent, and the willingness to cooperate.<sup>14</sup> From the naval point of view, a federal contract or commission will specify the first, and a system of discipline will enforce the first and second, but the third basic effort cannot be prescribed by law. It is the ability to develop this willingness to cooperate (or morale) that marks the successful leader.

It is not the purpose of this section to describe the ingredients of a leader. But in the belief that, contrary to the old saying, leaders can be made as well as born, recent findings in the field will be reviewed. This is

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<sup>14</sup>Jucius, op. cit., p. 354.

almost entirely, but the highest grade of the organization  
 are really required by each member. About this this  
 position may be reflected in such form as a few persons  
 take of responsibility and executive responsibility for control  
 from the command-all systems of power. The fact  
 that a number of the naval service cannot take off the  
 without and dull (no one can industrial engineer being  
 a desire for the maintenance of equipment) will not help  
 him in the service however, and his industrialization process  
 of it will be reflected in his daily performance of duty.  
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 incidents of a leader. The in the initial that, contrary  
 to the old saying, leaders can be made as well as born,  
 recent findings in the field will be reviewed. This is

done to highlight the statement that something can always be done to improve morale, that any person may become a more effective leader who so sincerely desires.

Stogdill,<sup>15</sup> working under the sponsorship of the Office of Naval Research, made a thorough review of all the researches upon the personal qualities of leaders. He found "a preponderance of evidence from a wide variety of studies which indicates that patterns of leadership traits differ with the situation," and concluded:

The total weight of evidence presented in this group of studies suggests that if there are general traits which characterize leaders, the patterns of such traits are likely to vary with the leadership requirements of different situations.

The leader can then best control his behavior so as to have the most desirable effects on his group, not by cultivating specific traits--a dubious accomplishment--but by learning to diagnose the situation in which he finds himself and by doing those things that are most sensible and most effective in that situation.<sup>16</sup> The aspiring leader can take comfort from this: few if any are born leaders in all situations, and changing situations are likely to present opportunities sooner or later for many types of men.

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<sup>15</sup>R. M. Stogdill, "Personal Factors Associated with Leadership: A Survey of the Literature," Journal of Consulting Psychology, 1948, 25, 35-71.

<sup>16</sup>Naval Leadership, op. cit., p. 132.

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#### 4. Responsibility and Authority

This section is introduced to emphasize the duty and obligation of the leader--to stress the necessity of planned action, as opposed to unsystematic functioning and inertia--in carrying out any program, such as one to build morale.

In naming some of the attributes of responsible men, Graham writes:

Discretion is essential to responsibility, which is something more than enforceable accountability. A duty that contains no element of initiative, judgment, or choice for the one obliged to perform it may be a matter of accountability, but not of responsibility in the wider sense . . . .

A second characteristic of responsible men is recognition of an obligation to meet a need that exceeds the individual's and to act according to a standard that is outside himself and beyond his control . . . .

A third characteristic of responsible men is regard for the consequences . . . .

Responsibility connotes a certain amount of rationalism and an element of prudence. A responsible leader may endanger his own life or the lives of his followers, but he will only do it for a considered reason, after some weighing of the objectives and some calculation of the risks. It is this element of responsibility in leadership that holds a group together . . . .

. . . A responsible administrator does not imperil the vitality of his organization.<sup>17</sup>

This discussion of the essentials of responsibility is in accord with responsibility as delegated by naval

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<sup>17</sup>G.A. Graham, "Essentials of Responsibility", in F.W. Marx, ed., Elements of Public Administration, (New York: Prentice-Hall, 1946), pp. 502-3.

Responsibility and Authority

This section is concerned with the relationship between the two concepts of responsibility and authority. It is pointed out that responsibility is a broader concept than authority, and that authority is a narrower concept. It is also noted that responsibility is a moral concept, while authority is a legal concept.

Responsibility is essential to authority, which is a power or right to command. Authority is a power or right to command, which is essential to responsibility. A duty that carries no element of initiative, judgment or choice is not a duty. It may be a matter of course, but not of responsibility in the proper sense.

A second characteristic of responsibility is freedom of choice. It is freedom of an individual to act or not to act. The individual's act is not bound to a standard that is outside himself and beyond his control.

A third characteristic of responsibility is freedom of choice. It is freedom of an individual to act or not to act. The individual's act is not bound to a standard that is outside himself and beyond his control. Responsibility carries a certain amount of freedom and an element of choice. A responsible leader may exercise his own will or the will of his followers, but he will only do so for a considered reason, after some weighing of the objectives and some estimation of the value. It is this element of responsibility in leadership that makes a group leader a responsible leader. A responsible leader is one who has the ability of his organization.

The distinction of the elements of responsibility is in accord with responsibility as defined by many.

17. A. A. Bertram, "Elements of Responsibility," in Journal of Public Administration (New York: Review-Staff, 1943), pp. 123-5.



directives and regulations; the elements of initiative and judgment are frequently stressed to the naval officer by his superiors. And regardless of how much he may feel denied the right to exercise his own ideas and methods, the responsible administrator will take full advantage of his faculties of initiative and judgment in performing his duties within the prescribed limits. To do less would be the exercise of mere "enforceable accountability", not a desirable practice on the part of one handling men.

In his discussion of the search for principles in administration, White suggests that allocation of authority be in clear and concise terms, and that authority must be commensurate with responsibility.<sup>18</sup> While the directives under which the shipboard administrator operates are exhaustive in definition of both his responsibilities and his authority, "few public officials would agree that they ever possessed authority equal to their responsibility, even in the merely legal sense of the term; and if authority means the capacity to take action fully equal to the occasion, they would properly assert that it rarely exists".<sup>19</sup> This again emphasizes the need of initiative and judgment in accomplishing results within the structure and procedure specified by law.

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<sup>18</sup>White, op. cit., p. 38.

<sup>19</sup>Loc. cit.

direction and regulation; the elements of initiative  
 and judgment are necessarily placed in the hands of the  
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 the responsible administrator will take full advantage of  
 the freedom of initiative and judgment in performing  
 his duties with the prescribed limit. To do less would  
 be the exercise of mere "autonomous accountability," not  
 a desirable practice on the part of any business man.  
 In his discussion of the words "initiative" and "judgment" in  
 administration, Miss Lippitt suggests that initiative of authority  
 is in itself and cannot be exercised, and that authority must be  
 accompanied with responsibility.<sup>10</sup> While the division  
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 in accomplishing results which the executive and manager  
 specified by law.

Lippitt, op. cit., p. 23.  
 Ibid., p. 23.

Aboard ship the greatest part of planning for high morale will be done by those responsible for the execution of the plans. While outside assistance from higher commands, with their extensive staffs, may be available, in the day-to-day administration of personnel affairs the commanding officer and his subordinates are relatively free in this respect. If an inspecting senior finds an excessive delay in the trying of minor offenders, for example, the commanding officer will be called upon to explain why adequate plans were not made to permit prompt scheduling of hearings. Such administrative planning is normally the responsibility of the commanding officer, and nothing other than extremely abnormal circumstances or operations will remove the responsibility from him.

From the plans of the Navy Department, the major fleet and type commanders prepare and distribute proposed employment schedules as far as practicable in advance of the actual ordering of ship movements and activities. The commanding officer is therefore able to forecast with a certain degree of accuracy the time he will have available for administrative as well as operating duties. When on extended maneuvers, less time will usually be available to spend on personnel problems than when alongside a tender or in a shipyard for repairs.

The legal requirements connected with personnel records, court-martial procedure, and similar routine ad-

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 ministrative point of view, the time will usually be available to  
 attend on personnel problems from which should be taken  
 up in a separate report.

The legal requirements connected with personnel re-  
 cords, court-martial procedure, and similar routine ad-

ministrative duties are very explicit, but other factors that play a large part in a plan to build morale such as counseling, welfare, and positive motivation are not firmed for unplanned execution. It is here that the responsibility of the naval officer for planning is left in large measure to his own discretion. "Planning, in the context of administration, begins where general policy stops; it is concerned with the means by which ends can be brought to fruition."<sup>20</sup> As the policy of the Navy Department is to expect high morale, it is up to the commanding officer to plan a program and see that it is placed into effect, that the desired end of high morale aboard his ship be attained.

". . . (Program planning) begins with the detailed study of the job to be done, leading to the identification of the principal parts and their divisions . . . the relation between them . . . and the types of procedures that will be required."<sup>21</sup> This is the task of the commanding officer, as the responsible officer, aided by his subordinates.

The execution of an over-all plan to maintain high morale aboard a ship will require many decisions on the part of the commanding officer. In order that major doubts

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<sup>20</sup>White, op. cit., p. 201.

<sup>21</sup>Ibid., p. 205.



and possible sources of misunderstanding may be avoided, the commanding officer may issue statements of policy. A ship policy promulgated by the commanding officer and conforming to policies of senior commands may be used to prevent ambiguity, to specify ways and means, and to assign priority to functions to be performed.

One concluding comment on responsibility is that initiative is displayed by one who has the energy and ability to undertake a new enterprise without outside direction. The exercise of initiative presupposes (1) one's having sufficient knowledge of the problem to know what should be done, and (2) one's loyalty--that such action will not be initiated that is not in accordance with the plan and policy of superiors.<sup>22</sup>

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<sup>22</sup>Naval Leadership, op. cit., p. 204.

and possible sources of misrepresentation may be avoided,  
 the commanding officer has issued statements of policy. A  
 copy of the policy is being furnished to the commanding officer and con-  
 sidering the policies of senior commands may be used to pro-  
 vide guidance, to specify what means, and to assign  
 authority to functions to be performed.  
 The existing command or responsibility is being  
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 plan and policy of superiors.<sup>23</sup>

<sup>23</sup> Naval Leadership, pp. 114, p. 204.



## CHAPTER III

### CIVIL-MILITARY CONTRASTS

In some companies, management has acquired its competence in the school of hard knocks. In others, personal experience has been supplanted and expanded by recourse to accumulated knowledge, current practices of others, and research.<sup>1</sup>

Just as the industrial personnel manager looks at the current practices of other organizations, it is well for the military administrator to be aware of practices in the civilian administration of personnel.

Further, to understand problems and conditions peculiar to the shipboard administration of personnel it is helpful to contrast naval with civilian practices. This is appropriate, as methods available to develop high morale differ with the organization. For example, selection and remuneration are major tools of a factory manager but not of the officer afloat, and the self-contained system of naval justice differs greatly from procedures used in industry to enforce discipline, and so affect morale.

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<sup>1</sup>W.J. Jucius, Personnel Management, (Chicago: Richard D. Irwin, Inc., 1948), p. 3.

CHAPTER III

PERSONNEL MANAGEMENT

In some respects, management has adopted its competence in the field of hard money. In other, personal organization has been expanded and extended by means of human talent, knowledge, and research.

Just as the industrial personnel manager looks at the current practices of other organizations, it is well for the military administrator to be aware of practices in the civilian administration of personnel.

Further, to understand problems and conditions peculiar to the highest administration of government it is helpful to contrast naval and civilian practices. This is appropriate, as methods available to develop high calibre officers with the organization. The example selection and promotion are major tools of a factory manager but not of the officer corps, and the self-contained system of naval officer officers grows from procedures used in industry to entice specialists, and no other source.

<sup>1</sup> J. I. Linton, Personnel Management, (Chicago: Richard D. Irwin, Inc., 1941), p. 8.

In this chapter, sections will be devoted to areas where major differences in administrative practices affecting morale occur between shipboard and other organizations. By pertinent contrasts, morale problems may be made more meaningful.

### 1. Selection and Placement

It has been said in connection with the organization of a personnel department in business, that "The primary function of the personnel department is to employ qualified workers in sufficient numbers to meet the requirements of the business enterprise and to participate in all activities that will tend to keep the employee a satisfied cooperative and productive worker."<sup>2</sup> The importance of selection and placement is thus recognized to be fundamental. Subsequent functions are dependent upon the quantity and quality of the force employed; poor practices at this initial stage can produce severe financial losses to the concern. It has been found profitable by many companies to invest considerable sums of money in programs of research, testing, interviewing, and examining in order that the organization will be staffed by personnel in correct numbers and with the desired attributes to en-

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<sup>2</sup>W.D. Scott, R.C. Clothier, S.B. Mathewson, and W.R. Spriegel, Personnel Management, (3rd ed.; New York: McGraw-Hill, 1941), p. 29.

In this chapter, attention will be directed to those  
where major differences in administrative procedure often  
the whole picture between the two and their conse-  
quences. The primary concern, however, is to  
state some principles.

1. Selection and Placement

It has been said in connection with the organization  
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W. D. Scott, R. D. Dierker, E. E. Johnson, and G. A.  
Sprague, Personnel Management, 2nd ed., New York: McGraw-  
Hill, 1941, p. 22.

sure successful operation.

In the Navy, the functions of recruitment and assignment to duty have been removed from the shipboard administrator. A commanding officer no longer has the authority to effect first enlistments aboard his ship, and a radio-man upon arrival at a ship will not find himself assigned to duty in the engineeroom. The extensive facilities of the naval recruiting service and the training commands ashore assume the functions necessary to pick and train the force needed to run a modern vessel with its complex equipment. When an officer or man is ordered to report to a command, his commanding officer may assume that he is qualified for the duties of his rank or rate; he will not have to proceed with the screening of a series of applicants for the billet to be filled.

A large measure of judgment is frequently needed to correctly place untrained individuals in the shipboard organization, as in the case of apprentice seamen not selected for specialized training upon completion of recruit training. And it is considered good practice to rotate junior officers with no experience at sea among the various departments. However the selection and placement problems of the shipboard administrator are far fewer than those of the industrial personnel manager.

The benefits gained by being relieved of these problems are contrasted with the resultant inability to con-

and successful operation. In the early days, the function of recruitment and selection was to bring new recruits from the highest standards of the military profession, a commanding officer would select the best of the available men and women to fill the various positions. The expansion of the military profession and the increasing complexity of the various positions has necessitated a more systematic approach to recruitment and selection. The force needed to run a modern vessel with its complex equipment. When an officer or man is offered an appointment to a command, his commanding officer may advise that he is qualified for the duties of his rank or rate; he will not have to proceed with the completion of a series of applications for the duties to be filled. A large amount of judgment is therefore needed to select those individuals in the various organizations, as in the case of appointments, who are not selected for specialized training upon completion of their studies, and it is considered good practice to select junior officers with no experience of sea work in the various departments. However, the selection and classification of the highest standards and the best of the industrial personnel. The results of the industrial personnel are contrasted with the results of the military profession.

trol the quantity or quality of the personnel assigned to a command. General economic and political conditions control in large part the recruitment program. Remuneration is fixed by law, and in times of prosperity a commanding officer may not advertise for radio operators at the prevailing wage rate, nor may he refuse to accept a draft of thirty seamen he may not need at a particular time. He must at all times do the best he can with what he is given in the way of manpower. If his leading radio-man is ordered to another ship or station and a qualified relief is not aboard, that does not prevent the loss of the key man. So it is seen that at times the benefits of the support of specialized establishments ashore are reduced by the accompanying loss of control.

Placement of military personnel may be contrasted with that of civil service employees. In the former less attention is placed on the job to be done; a naval officer may be transferred from the position of gunnery officer of a cruiser to that of commanding officer of a destroyer, for example, or to any position within wide limits. Mobility and variety of experience is demanded. Civil service position-classification, on the other hand, is based on the job to be done; the applicant must have qualifications specified for the position.

A class or class of positions comprises all positions which are sufficiently similar in respect to their duties and responsibilities so

from the quantity or quality of the personnel assigned to  
 a command. - General officers and political commissars  
 should in large part be recruited from the ranks of  
 the Red Army, and in times of emergency a  
 number of them may be recruited for their operations as  
 the political work, but they should be always a  
 part of every command be they be used as a political  
 staff. To put it all down in the best way possible  
 to be given in the way of orders. If the leading bodies  
 are to proceed to recruit their staffs and a political  
 staff is not enough, that does not prevent the use of  
 the Red Army. - It is to be noted that at times the results of  
 the work of political commissars should be reported to the  
 staff by the corresponding part of command.

Recruitment of military personnel may be undertaken  
 with that of civil service employees. In the latter case  
 attention is paid on the job to be done; a special effort  
 may be made to find the position of greatest utility of  
 a worker in that of - including either as a worker,  
 for example, or as an assistant with the staff. In  
 civil and variety of experience is common. Civil ser-  
 vice positions - classification, on the other hand, is based  
 on the job to be done; the applicant must have suitable  
 technical qualities for the position.

A class or class of positions comprises all  
 positions which are functionally similar to  
 respect to their nature and responsibilities so



that (1) the same requirements as to education, experience, knowledge, and ability may be demanded of incumbents, (2) the same test of fitness may be used to choose qualified applicants, and (3) the same schedule of compensation is made to apply with equity under the same or substantially the same employment conditions.<sup>3</sup>

The naval enlisted personnel structure is more like the civil service classification than is the naval officer structure which permits but a limited percent of the total officer strength to be classified as specialists. Thus while a gunners mate will normally be concerned with some phase of gunnery and will advance in that rating branch, an officer may be assigned a specific billet for which he has had no previous training and/or experience. With the increased complexity of naval operations and functions, however, there is a tendency to increase the specified qualifications for larger numbers of positions, but not to the extent seen in the federal civil service.

## 2. Promotion and Remuneration<sup>4</sup>

While many industrial concerns have overemphasized the role played by wages in maintaining harmonious labor relations, as has been demonstrated by research similar to that conducted by the Western Electric group, it is

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<sup>3</sup>L.D. White, Introduction to the Study of Public Administration, (3rd ed.; New York: MacMillan, 1949), p. 372.

<sup>4</sup>Paul Figgers and C.A. Myers, Personnel Administration, (New York: McGraw-Hill, 1947), Chapters 16 and 17, passim.

and (ii) the same requirements as in paragraph 10-10-1, however, and which may be used to assess the quality of the work done by the person concerned, and (iii) the same requirements as in paragraph 10-10-1, however, and which may be used to assess the quality of the work done by the person concerned, and (iii) the same requirements as in paragraph 10-10-1, however, and which may be used to assess the quality of the work done by the person concerned.

The naval officer personnel structure is very different from the civil service classification and is the result of a structure which permits for a limited period of the total officer strength to be classified as specialists, thus while a number will normally be concerned with some form of general and will advance in that order, an officer may be selected a specific billet for which he has had no previous training and/or experience, with the increased complexity of naval operations and functions, however, there is a tendency to increase the specialist qualifications for larger numbers of positions, but not to the extent seen in the Federal civil service.

2. Research and Development

While many industrial concerns have overemphasized the role played by wages in maintaining harmonious labor relations, as has been demonstrated by research studies to that conducted by the Weston Electric group, it is

1. A. J. G. S. (1961), 'The Role of Wages in Maintaining Harmonious Labor Relations' (2nd ed.), New York: Macmillan, 1961, p. 102.  
2. J. G. S. (1961), 'The Role of Wages in Maintaining Harmonious Labor Relations' (2nd ed.), New York: Macmillan, 1961, p. 102.

reasonable to state that without a fair wage policy and consistent internal wage relationships, the personnel program will be faced with insurmountable difficulties. And a good promotion policy requires that earnings on each job be related to the value of the job.

The skilled industrial personnel administrator will be required to continuously evaluate the positions within his company, its payment plans and methods, and the individuals employed. Competition for the best labor available and pressure from unions will require long-range plans in this respect. Large staffs are employed to conduct this work at no small expense.

But for the outlay of this money, the enterprise has purchased a powerful tool--the personnel department may play a vital part in the development of good morale through wise use of remuneration of employees. Wage payment may be based on time or output, and each method may be used under different circumstances to better advantage than the other; employee attitude must be weighed along with other considerations in arriving at a decision regarding which method will prove most effective. Common employee attitudes found regarding wage payment plans are that they are too complicated and that standards are set unfairly. Worker morale will obviously be benefited if these feelings are removed from the minds of those concerned, and, further, it can be definitely raised by intelligent use of an ap-

responsibility to state that without a fair wage policy, and  
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more, it is obviously beneficial if these factors are  
removed from the side of these elements, and, further,  
it can be definitely related by individuals one of an up-

appropriate incentive plan. Over-all production and morale have been increased in many instances by application of a well-planned group incentive type of wage payment.

Other payments, such as bonuses, pensions, and profit-sharing, may be effectively utilized by the industrial personnel administrator to effect good morale.

These factors discussed briefly above are not available, however, to the shipboard administrator; military pay is determined by Congress. To compute the total service pay of anyone in the Navy is simple: in most cases one need only to know the rank or rate, years of service, number of dependents, and type of duty. The commanding officer may not effect promotions except in a very few cases. Neither may he raise the salary of a subordinate; fines may be awarded in some instances as punishment--a negative incentive. Thus the positive financial incentive is available to the commanding officer only indirectly: his reports of fitness may affect future promotion of a subordinate or determine that a recipient of increased pay for hazardous duty is no longer qualified for it.

In the Federal civil service, the classification and years service determine the pay of the worker. Associated classes are grouped into series and services to relate them and establish lines of promotion. Selection for promotion is normally made by the head of the agency concerned, aided by factors such as promotional examinations, efficiency

The present incentive plan, however, has been increased in many instances by suggestion of a well-planned group incentive type of wage payment.

The present plan, such as bonus, premium, and profit-sharing, may be effectively utilized by the industrial personnel administration to effect good results.

These factors discussed briefly above are not exclusive, however, to the proposed administrative efficiency pay as determined by Congress. To compute the total value pay of anyone in the pay is simple: it just does one need only to know the rank or rate, years of service, number of dependents, and type of duty. The computing of this pay for each promotion except in a very few cases.

It may be true the value of a promotion; this may be recorded in some instance as promotion—a negative incentive. Thus the positive financial incentive is available to the commanding officer only indirectly: his words of fitness are effect better promotion of a subordinate as determined that a recipient of increased pay for hazardous duty is no longer qualified for it.

In the naval civil service, the classification and years service determine the pay of the worker. Established classes are grouped into series and services to relate them and establish lines of promotion. Salaries for promotion are normally made by the head of the agency concerned, aided by factors such as promotional examinations, efficiency

rating and seniority. To a larger extent than is seen in military service, this gives the administrator a control over the subordinate. While provisions are made for review and appeal of decisions, as well as transfer, it appears safe to say that the civil service administrator has more direct control of subordinate promotion than does the naval administrator.

During the last war, the Navy employed the so-called spot promotion in many cases where the incumbent officer was assuming the responsibilities of the billet of a more senior officer. And to meet the conditions imposed by a tight labor market at that time, the civil service found it expedient to up-grade many positions. These practices are not, however, normally available to the government administrator, and may not be counted upon as techniques to raise morale in routine personnel administration.

Promotion and remuneration in cases of government employees has long been subject to some form of central control, and private employees are finding themselves more and more subject to a similar control as a result of legislation and agency decree in recent years. The Wagner, Taft-Hartley, and similar acts illustrate this trend.

### 3. Legal Enforcement of Discipline

In this section, the term discipline will be used as meaning a system of control gained by potential or actual

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Legal Enforcement of Decisions

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punishment for disobedience. In this sense a contrast may be drawn between the legal methods of insuring compliance in military and non-military administration of personnel. It is recognized that, in the broad sense, discipline is far more than the phase under present consideration. The way discipline is enforced has a marked effect on morale, obviously.

Workers in modern industry, due largely to their unionization, do not find themselves as helpless before their employers as they once were. Legislation now gives protection to the industrial worker, and prevents practices such as arbitrary fines or discharges from being imposed by management. Union contracts specify in great detail the rights of all parties, and personnel managers are unwilling to sponsor or tolerate abuse of these rights. Provision is made through grievance machinery to hear and act on employee's dissatisfaction with the company, and the company has procedures to follow in the case of dissatisfaction with the employee. While penalties vary with different companies, they should be applied fairly and in the same way all the time for fear of losing the confidence of the employees or having some outside agency criticize the company and its management.<sup>5</sup>

In the Federal civil service, an employee's fitness,

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<sup>5</sup>Jucius, op. cit., Chapter XXII.



capacity, and attention to duty are questions of discretion and judgment to be determined by the head of his department.

. . . (The United States Civil Service Commission) is vested with authority to investigate only when it is alleged that the procedure required by law or rule has not been followed, that unequal penalties have been imposed for like offenses, or that political or religious discrimination has been exercised. The Commission has no general jurisdiction to investigate the sufficiency of the reasons for a removal, which are finally determined by the appointing officer.

. . . The widespread impression that a merit system employee cannot be effectively disciplined or removed is without foundation in the national service as in most other jurisdictions. If discipline is lax and if incompetent employees are not removed, the fault lies with the responsible officials in the department, not with the protected status of the workers.<sup>6</sup>

White distinguishes between the informal and the formal types of discipline and mentions the fact that disciplinary actions may take one of many forms without resort to any legally established procedure. The reason he gives for this system of control is that many offenses are too slight, or too subtle, or too difficult to prove, to warrant direct and formal action.<sup>7</sup> Informal disciplinary measures are probably seen less in industries where a highly active and aggressive union is constantly on the alert. Informal

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<sup>6</sup>White, op. cit., p. 426.

<sup>7</sup>Ibid., p. 423.



measures and subtle forms of discipline may make their influence felt without requiring overt action or attracting attention, however, and the shrewd administrator will take note of their possibilities.

Disciplinary powers granted the naval commanding officer are far greater than those of the non-military administrator. While the cruel and unusual punishments have long been abolished in the service, the comparatively independent structure of military justice leaves much to the discretion of responsible officers. The authority to convene courts-martial is granted the commanding officer; the sentence that may be awarded is subject to mitigation or remission by the convening authority, his immediate superior in command, the Navy Department, and on up. While the sentences a military court may award are limited by law, different grades of courts are authorized to award greater or lesser degrees of punishment, and the discretion in the severity of sentence possible is in the hands of the officer convening the court. Another factor that enhances the power of the commanding officer is that he normally appoints the members of the court from among those under his command.

Considerable authority, in a legal sense, is needed by a naval commanding officer because of several factors not frequently found in non-military organizations, among them the hazardous objectives of the group, frequent



isolation, and continuing existence in comparatively close quarters.

Two chief differences between Navy and civilian job performance are (1) the living and working together in close quarters aboard ship and (2) the added stress placed upon Navy personnel by participation in combat. Because of these two factors, supervising officers in the Navy place considerable emphasis upon such personal qualities as ability to get along with others, faithfulness, dependability, willingness to take orders, and interest in the job.<sup>8</sup>

That these qualities are stressed is seen in a list of offenses punishable by courtmartial. While sleeping on duty could result, at most, in discharge of an industrial worker, it could result in a sentence of death in the case of a serviceman. The fact that, in times of emergency, conscription must be resorted to to build a fighting force implies that legal, as opposed to voluntary, means of compelling obedience will continue to be essential, regardless of the great progress being made in the handling of human beings.

#### 4. Measurement of Morale

In industry it has been said that if greater economy and effectiveness can be obtained through the contributions of a high morale, then it is important from the managerial

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<sup>8</sup>D. B. Stait, ed., Personnel Research and Test Development in the Bureau of Naval Personnel, (Princeton: University of Princeton Press, 1947), p. 300.

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point of view to know just what the status of the group morale is.

There is probably no phase of the industrial program in which there is more "wishful thinking" than that indulged in by managers as to the attitudes of their employees toward their company.<sup>9</sup>

The industrial manager has several techniques at his disposal, many of which are relatively new and still in the process of development. The techniques used in industry are of two general classes: the first is an analysis and interpretation of objective data, and the second is more subjective. Labor turnover, absenteeism, production and waste are indices of morale, in many cases, although of different factors in others; the analysis of such data "at best is difficult and is not always reliable as an index of morale."<sup>10</sup>

One objective index of employee morale that has been developed in connection with safety programs is the analysis of industrial accidents. A spirit of teamwork, manifested in safety-mindedness for others, was found to be a significant factor in accident reduction.

Accidents can never be altogether eliminated, because human beings will never become entirely stable and perfectly efficient. But, when the

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<sup>9</sup>Scott, Clothier, Mathewson, and Spriegel, op. cit., p. 507.

<sup>10</sup>Ibid., p. 508.

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W. L. Garrison, Chairman, and others, et al.  
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accidents that do happen are used as educational material for employees (both management and workers) at all levels, there can be a progressive gain in morale and teamwork. Unless accidents are so used, they not only indicate lapses in morale and teamwork but also are apt to set up a vicious cycle in which the feelings of workers suffer further depression that cumulatively reduces their efficiency of action.<sup>11</sup>

Aboard ship, as in industry, accident frequency may be used as an index of morale, and for the same reasons as stated above. Other indices of an objective nature that may be found useful by the shipboard administrator include cases reported by the sickbay, requests for transfer from the command, reports involving insubordination, fighting, theft, and the like. In statistics that reveal instances of lack of teamwork, indices of morale may be found. Their analysis and evaluation, however, must be done skillfully and thoughtfully by an experienced officer to arrive at valid conclusions concerning the state of morale at any given time.

The subjective class of morale-measuring techniques includes the following methods with accompanying comments:<sup>12</sup>

Supervisors Impressions.--Many executives are inspirational leaders and capable of developing morale, but few even of these are trained in observing and evaluating morale standards. Executives should be encouraged to strive to sense the morale situation and should be aided

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<sup>11</sup>Pigors and Myers, op. cit., p. 94.

<sup>12</sup>Ibid., pp. 508-511.

accidents that do happen are used as educational material for employees (both management and workers) at all levels, there can be a positive gain in morale and teamwork. Unless accidents are used, they not only indicate failure in morale and teamwork but also tend to set up a vicious cycle in which the learning of workers after further accidents tends cumulatively to cause their attainment of action.

Second step, as in industry, accident frequency can be used as an index of morale, and for the same reason as stated above. Other indices of an objective nature that may be found useful by the highest administrative levels are reported by the workers, requests for transfer from the company, requests involving demotion, firing, etc., and the like. In situations that reveal instances of lack of teamwork, indices of morale may be found. Their analysis and evaluation, however, must be done skillfully and thoughtfully by an experienced officer to arrive at valid conclusions concerning the state of morale at any given time.

The subjective class of morale-measuring techniques

includes the following methods with accompanying comments:

- 1. Personality inventories—very sensitive and diagnostic factors and capable of revealing morale, but few ever of them are used in observing and evaluating morale standards.
- 2. Personality tests—should be employed as a guide to assess the morale situation and should be used

Illinois and Texas, 1934-35.

1934-35, 1935-36.

in this attempt by more accurate information than their impressions.

"Listening-in" Process.--There is no place in this type of attitude measurement for persons with pronounced biases. It is difficult to secure individuals who possess the required scientific approach to do this work. As a whole, this type of discovering the morale status of employees is not satisfactory.

The Unguided Interview.--This method not only provides a means of interpreting morale but at the same time is used to build morale. Its effectiveness is dependent upon the effectiveness of the interviewers.

The Guided Interview.--The interviewer seeks to direct the interview in such a manner as to secure the answers that will reveal the desired information. The success of this method, like the unguided interview, is largely dependent upon the skill of the interviewer in soliciting answers and his objectivity in evaluating the results of the interview.

The Questionnaire Technique.--The simple technique of asking a question and having the employee answer it has the advantage of not suggesting any particular answer to the employee, but it is difficult to evaluate, and many employees have difficulty in expressing themselves on paper. The multiple-choice questions permit considerable shading of meaning when carefully constructed, are much quicker to answer, and are readily measurable by statistical methods.

Due to the nature of military service, attitude surveys are not conducted as they are in industry to determine such variables as wage-payment methods, hours and conditions of work, and the like. Naval surveys of opinion and attitude are rare and do not directly determine future action. In reporting work carried on in the Bureau of Naval Personnel, three major opinion surveys, begun in

in this attempt by more accurate information than basic interviews.

Standardized Interview—There is no place in this type of attitude measurement for persons with pronounced biases. It is difficult to secure individuals who possess the required scientific approach to do this work. As a result, this type of measuring the attitude scores of employees is not satisfactory.

The Guided Interview—This method not only provides a means of interviewing people but as the same time is used to build morale. The effectiveness is dependent upon the effectiveness of the interviewers.

The Guided Interview—The interviewer seems to direct the interview in such a manner as to secure the answers that will reveal the desired information. The success of this method, like the unguided interview, is largely dependent upon the skill of the interviewers in withholding answers and the objectivity in evaluating the results of the interview.

The Questionnaire Technique—The single factor of asking a question and having the respondent answer it has the advantage of not suggesting any particular answer to the respondent, but it is difficult to evaluate, and many employees have difficulty in expressing themselves on paper. The multiple-choice questions permit considerable shading of meaning when carefully constructed, and many people do answer, and are readily measurable by statistical methods.

One to the nature of military service, attitudes are very not conducted as they are in industry to determine such variables as wage-payment methods, hours and conditions of work, and the like. Naval surveys of opinion and attitude are rare and do not directly determine future action. In reporting work carried on in the Bureau of Naval Personnel, three major opinion surveys, begun in

1945, are described with the accompanying remark that they "represent only a very modest attempt to probe the complex area of attitude and morale."<sup>13</sup>

In 1949 a survey was conducted among representative groups of officers to determine their views toward continuing with a naval career. Such a study, upon careful analysis, could well be considered to be an index of officer morale. The Bureau has not released the results of this study.

During the war a large number of morale studies were made by the Army and a few by the Navy. These studies indicate . . . the morale factors generally effective in the services . . .<sup>14</sup>

Many results of the Army studies are reported in the American Soldier series.<sup>15</sup> The Navy studies made to de-

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<sup>13</sup>D.B. Stuit, ed., Personnel Research and Test Development in the Bureau of Naval Personnel, (Princeton: Princeton University Press, 1947), p. 410. Described are: (1) a survey of Navy training--what enlisted men thought about their training, (2) a survey of educational services--to reveal participation in and value of the educational services program and resulting information and attitudes about the war and the future, and (3) an attitude survey of Amphibious Force personnel--to reveal opinions about that branch of naval service.

<sup>14</sup>Ibid., p. 449. As a matter of interest, the eight morale factors found were (1) satisfaction with the job, (2) belief in the mission, (3) a realistic appraisal of the job ahead, (4) confidence in the training and equipment, (5) pride in one's unit or organization, (6) belief that one's individual welfare was a matter of concern, (7) relations between officers and enlisted men, and (8) faith in the cause and in the future.

<sup>15</sup>S.A. Stouffer, et al, The American Soldier: Vol. I, Adjustment during Army Life; Vol. II, Combat and Its Aftermath, (Princeton: University of Princeton Press, 1949).

1945, and described with the accompanying charts that they represent only a very modest attempt to probe the complex area of attitude and morale.

In 1943 a survey was conducted among representative groups of officers to determine their views toward continuing with a naval career. Such a study, when analyzed, would well be considered to be an index of officer morale. The Bureau has not released the results of this study.

There has been a large number of morale studies conducted by the Army and a few by the Navy. These studies indicate . . . the morale factor generally effective in the services . . . Many results of the Army studies are reported in the American Soldier series. The Navy studies made to date

The Study of Personnel Assessment and Test for Reformation in the Bureau of Naval Personnel (1943-1945) (1) a survey of Army training areas and (2) a survey of Army training areas which included the following: (a) a survey of educational and physical training participation in and value of the educational services program and training facilities and activities about the war and the future, and (c) an attitude survey of military force personnel--to reveal opinions about that opinion of naval service.

Table 1. 449. As a matter of interest, the following factors found were (1) satisfaction with the job, (2) belief in the mission, (3) a realistic appraisal of the job ahead, (4) confidence in the training and equipment, (5) pride in one's unit or organization, (6) belief that one's individual welfare was a matter of concern, (7) satisfaction of officers and enlisted men, and (8) belief in the cause and in the future.

Table 1. 450. The results of the study of the morale of the personnel during the war, 1941-1945, are shown in the following table.



termine the value of attitude research in evaluating personnel practices concluded:<sup>16</sup>

When adequate attention is given to these basic problems of suitability and interpretation, in addition, of course, to the technical research problems, opinion studies can provide valuable and useful evaluative data for personnel and training programs.

Thus while research is being conducted at higher levels in the Navy on attitude surveys, the questionnaire technique is, for practicable purposes, not of use in the measurement of morale aboard ship today. Such matters as welfare and recreation are at times determined by popular opinion--whether to use welfare fund monies for baseball uniforms or a dance, for example, should, in most cases, be determined by those for whom the fund exists, the crew. Such a decision would likely be made by them through their representatives, however, and not as a result of a referendum.

Therefore, aboard ship, the impressions made on those responsible are the most widely used measurements of morale,<sup>17</sup> and a deeper understanding should be obtained by the use of the interview, the subject of another chapter.

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<sup>16</sup>Stuit, op. cit., p. 432.

<sup>17</sup>Naval Leadership, op. cit., p. 233, states morale may be measured by (1) inspections and (2) interviews. No mention is made of the attitude survey in this connection.

During the time of attitude research in a workshop...  
Annual questions conducted: 19

When attitude research is given to them  
basic problem of reliability and interpretability.  
In addition, it occurs to the workshop research  
programs, updated studies can provide valuable  
and useful evaluative data for personnel and  
training programs.

Thus this research is being conducted at higher  
levels in the form of attitude surveys, the questionnaire  
technique is, for researchable purposes, not of use in the  
measurement of attitude about ship safety. Good criteria for  
validity and reliability are at times obtained by popular  
opinion-samples to use values from earlier for desired  
variables in a survey, for example, attitude in work areas,  
be determined by those for whom the facts exist, the more  
such a decision would likely be made by them through their  
representatives, however, and not as a result of a value-  
order.

Therefore, direct study, the questionnaire with an open  
response and the test study and measurement of  
attitude, IV and a better understanding should be obtained by  
the use of the interview, the subject of another chapter.

Attitude, opinion, and belief

Attitude, opinion, and belief are all terms  
which may be measured by (1) questionnaire and (2) interview. No  
mention is made of the attitude survey in this connection.

## CHAPTER IV

### MORALE REQUIREMENTS

The psychological needs that the members of an organization must satisfy in order to be happy and productive may be titled and stressed differently by different students of the subject. In their discussion on the basic emotional needs, Mosher, Kingsley, and Stahl<sup>1</sup> state they are a sense of security, a sense of success (achievement and recognition), and a sense of belongingness. They stress security as being the broadest and most basic need, in some ways comprehending the others. Other writers refer to these concepts by other names and with varying degrees of importance.

In this chapter the topic of fundamental requirements of morale will be considered under three section headings--objectives, recognition, and security. This arrangement is made in accordance with the biases of the writer, and is not submitted as the ultimate classification. "Morale is not a summation of effects from different sources but a characteristic of the whole indi-

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<sup>1</sup>W.E. Mosher, J.D. Kingsley, and O.G. Stahl, Public Personnel Administration, (3rd ed.; New York: Harper and Brothers, 1950), p. 239.

VI INTRODUCTION

GENERAL PRINCIPLES

The psychological needs that the members of an organization want satisfy in order to be happy and productive may be listed and assessed differently by different groups of the subject. In their discussion on the basic emotional needs, Maslow, Herzberg, and others state that one a sense of security, a sense of success (achievement and recognition), and a sense of belongingness. They stress security as being the most basic and most basic need, in some ways corresponding to the others. Other writers refer to these concepts by other names and with varying degrees of importance.

In this chapter the topic of fundamental requirements of workers will be considered under three sections: belongingness--achievement, recognition, and security. This arrangement is made in accordance with the ideas of the writer, and is not intended as the ultimate classification. "Security" is not a summation of others from the latter sources but a characteristic of the entire individual.

J. R. Maslow, 177, Broadway, and S. D. Maslow, 177, Broadway, New York, New York; Herzberg and Maslow, 1954, p. 10.

vidual and the whole group."<sup>2</sup> Thus it is impossible to isolate and treat individually any morale requirement discussed in this chapter.

The reason for including in this thesis a chapter on the fundamental morale requirements has been well stated:

The alternative to giving serious attention to the fundamental psychological needs of human beings is generally destructive of all that we are seeking when we bring people to work together in a common enterprise.<sup>3</sup>

It is held that the fundamental morale requirements, by whatever names one chooses to call them, should be well known to all holding positions of personnel responsibility. They should guide all administrative actions affecting morale.

### 1. Objectives

Knowledge of objectives may be considered to be a very important factor affecting morale, and one that is too often neglected aboard ship. Without certain goals, an individual or a group may not be expected to perform at a high level of efficiency or to enjoy the satisfactions of knowledge that a job has been well done. Without a feeling of achievement, it is not reasonable to

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<sup>2</sup>David Kroch and R.S. Crutchfield, Theory and Problems of Social Psychology, (New York: McGraw-Hill, 1948), p. 412.

<sup>3</sup>Mosher, Kingsley, and Stahl, op. cit., p. 291.

vision and the whole group.<sup>2</sup> Thus it is inevitable to isolate and treat individually any social requirements discussed in this chapter.

The reason for dealing in this thesis a chapter on the fundamental social requirements has been well stated: The alternative to giving serious attention to the fundamental psychological needs of man is being a generally destructive of all that we are seeking when we bring people to work together in a common enterprise.<sup>3</sup>

It is said that the fundamental social requirements by whatever name one chooses to call them, should be well known to all holding positions of responsibility. They should guide all administrative actions and testing methods.

1. Objective

Knowledge of objectives may be considered to be a very important factor affecting morale, and one that is not often recognized enough. Without certain goals, an individual or a group may not be expected to perform at a high level of efficiency or to enjoy the satisfaction of knowledge that a job has been well done. Without a feeling of achievement, it is not possible to

<sup>2</sup>David Lewis and V. L. Crowder, Group and Problem Solving, New York: McGraw-Hill, 1944, p. 112.

<sup>3</sup>Robert Lippitt and Kurt Lewin, Group Dynamics

expect any satisfaction, any sense of worth-whileness on the part of a person or a group. High morale is thus automatically excluded by failure to insure that all hands have their goals. Depending on the capacity or intelligence of those under consideration, the wise administrator, regardless of his rank or position, will make it a point to see that goals of some type are always in sight. Persons of higher intelligence, having capacity for abstract thought, will not require the simple and immediate goals of their less developed team-mates. While it may be sufficient for a skipper to tell his executive officer of many years experience that every effort should be made to win a gunnery competition, it may be that a seaman newly reported aboard should have the importance of cleaning a gun mount prior to the exercise explained to him. In this case the complexity of scoring a target practice is well known to the responsible officer, but the new man must be told of the importance to the safety of the entire vessel of the gun's perfect functioning. Here the man's immediate objective is the simple preparation of the mount for firing, not the accompanying calculations, procedures, operations and decisions that he would not comprehend. And if his gun is inspected and found ready to fire on schedule, the seaman has done his part; he may experience the same feeling of accomplishment, realizing the importance of his work, as do his superiors after a suc-

report my resignation, my sense of responsibility as  
 the part of a person in a group. High morale is the  
 necessarily essential in future to know that all hands  
 have their parts. Depending on the quality or quantity  
 of those under consideration, the wise choice  
 between, regardless of his work or position, will make it  
 a point to see that each of your jobs are made in sight.  
 persons of other intelligences, having capacity for ab-  
 stract thought, will not require the same and immediate  
 goals of their own development. While it may  
 be sufficient for a student to tell his instructor without  
 of any other experience that every effort should be made  
 to win a heavy competition, it may be that a student really  
 reported should have the importance of clearing a  
 goal which is the essence explained to him. To this  
 case the complexity of a single problem is still  
 known to the responsible officer, but the law may be  
 both of the importance to the safety of the entire group  
 of the man's perfect functioning. Even the man's law  
 regulate objective is the single responsibility of the group  
 for living, and the accompanying obligations, responsibilities,  
 operations and decisions that he must see responsibility.  
 And if the law is important and laws apply to the in-  
 visible, the man has done his part in my experience  
 the man facing an assignment, realizing the im-  
 portance of his work, as do his experience after a suc-



cessful exercise. If the seaman's petty officer had directed the work to be done "because I said so", no objective would have been presented to the mount cleaner and, while the work might have been done, no feeling of importance would make the task appear worthwhile--hence, no feeling of achievement.

In the absence of clear over-all objectives, groups cannot hope to achieve a high order of synthesis and will easily deteriorate. One of the most serious morale problems of men in the military forces during the war was the non-existence for large numbers of them of any clear-cut goal for which the war was being fought.<sup>4</sup>

While the average naval officer is probably not sufficiently trained to adequately interpret and explain national policy to the satisfaction of all his subordinates, he should make every effort to insure that his own directives are known and understood, that the objectives he sets are comprehensible. This establishing of sub-goals will in many cases act as a step in improving over-all morale.

It is realized that it is not always possible, or even desirable, to explain fully what is to happen and why. In many cases security prevents disclosure of plans; in others failure to appreciate large objectives prevents opening of dependent plans to scrutiny. But if at all

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<sup>4</sup>Krech and Crutchfield, op. cit., p. 406.

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possible, all hands, within the scope of their ability to comprehend, should be kept informed. This applies equally to the procedures to be followed as well as to the actual operations to be performed; the structure of the organization should be known, and the seemingly reasonless lines of responsibility explained--a gunners mate should know why he is assigned to a battery under the direction of an assistant engineering officer for one drill and why he reports to the chief quartermaster for another.

It would be enlightening to conduct a survey aboard almost any vessel to determine to what extent all hands know why they do what they do, and to determine how far down the chain of command reasons for decisions and actions are made known. It seems safe to state that a large share of the complement of any ship remains uninformed in many areas that superiors assume are well known to all. While such information is passed along lines of informal organization, the morale-conscious administrator will insure that what he wants known is actually known, and that his subordinates keep in mind the very real importance of knowledge of objectives. In many cases, the establishment of sub-goals will help maintain interest if the ultimate goal is distant or incomprehensible. This is illustrated by the practice of holding weekly inspections for which all hands may prepare rather than explaining that the objective or goal is a sanitary ship's company, a safe

possible, all means, within the scope of their ability to  
 arrangements, should be kept in mind. This applies equally  
 to the Government as to the individual as well as to the  
 operations of the Government; the efficiency of the organization  
 should be known, and the essential operations fixed so  
 responsibility explained—arrangements should be made  
 is assigned to a hierarchy under the direction of an individual  
 engineering effort for one half and the other for the  
 of the organization for another.

It would be surprising to conduct a survey of  
 almost any vessel in operation to find out all the  
 know why they do what they do, and to determine how the  
 give the chain of command reasons for decisions and actions  
 are made known. It seems safe to state that a large amount  
 of the equipment of any ship remains unknown in any  
 system that operates unless it is known to all. While  
 such information is passed along lines of informal organ-  
 ization, the more-extended organization will have  
 that what is made known is usually known, and that the  
 responsibilities keep in mind the very real knowledge of  
 knowledge of objectives. In many cases, the establishment  
 of objectives will help maintain interest in the process  
 goal is distinct or unambiguous. This is illustrated  
 by the question of raising weekly production for which  
 all hands are expected rather than explaining that the  
 objective or goal is a quarterly ship's company, a safe

vessel, or something equally intangible. At weekly inspections, defects that may be corrected within a reasonable time are pointed out, and vague directives, such as one to "clean up the ship", are not required.

A correlary of this tenet is that lack of objectives or setting unrealizable objectives may easily lead to frustration and personal disintegration. Hounding a subordinate to "clean up the ship" without giving an indication of what constitutes a clean ship may lead to undesirable results, obviously. But many administrators fail to realize the benefits to morale that may be obtained by setting realistic, obtainable goals, aimed at the level of those under consideration, the realization of which adds to the feeling of achievement of those held responsible for their accomplishment.

Krech and Crutchfield in discussing the significance of positive goals state that it is also necessary to have some feeling of moving toward the goal and that "very small amounts of encouragement and success and small steps toward the goal are frequently effective in sustaining and enhancing motivation."<sup>5</sup> This fact should be kept in mind when objectives are first established to prevent setting goals that may not be obtained within reasonable time or that are so distant no progress may be detected en route.

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<sup>5</sup>David Krech and R.S. Crutchfield, op. cit., p. 409.

...or something equally important. It really is  
 important, because that way we can avoid all the  
 side line and get right down to business, and as  
 one to "look up the ship", and not get lost.  
 A secretary of this sort is that kind of detective  
 or being something of a detective, and really lead to  
 the fact and personal investigation, knowing a sub-  
 stantial to "look up the ship" without being in the  
 direction of what constitutes a ship and lead to the  
 desired results, obviously. The way administrators fail  
 to realize the benefits to derive that way is illustrated by  
 these various objectives, which are aimed at the level of  
 those under consideration, the realization of which will  
 be the feeling of achievement of these and responsible for  
 their accomplishment.

...from and therefore is illustrating the significance  
 of positive goals state that it is also necessary to have  
 some feeling of working toward the goal and that "very"  
 that means of achievement and success and self-ship  
 toward the goal and therefore effective in containing and  
 including motivation. The test should be made in which  
 when objectives are first established to provide setting  
 goals that may be obtained with reasonable time and  
 that are so distant no progress may be assessed in terms.

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<sup>1</sup>Wald Fred and S. A. Constantine, op. cit., p. 100.

Whenever group members can see or believe they can see evidence of advance toward the group objective, morale is thereby likely to be strengthened. The converse is also true. Just as "nothing succeeds like success", so "nothing fails like failure."<sup>6</sup>

This same reasoning may be applied to the individual as well as to the group, and it is an appropriate concept with which to begin consideration of the next morale requirement.

## 2. Recognition

When one makes progress toward an individual or personal goal, recognition of this achievement may likely come from within and is less dependent on recognition from without; when one advances toward a group objective, recognition by that group is more often demanded. Gunner Jones may collect and study stamps, for example, for his own satisfaction without expecting compliments from his shipmates, but when he works to get his equipment ready for the big competition he wants the gunnery officer to be aware of his contribution and he wants his importance to be known by the command.

This need for recognition is an important factor affecting morale. The need for commendation when due is not limited to any rank, rating group, age, or other classifi-

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<sup>6</sup>Loc. cit.

However, group members can see as follows they  
for one instance of evidence toward the group  
subject, which is likely likely to be  
situation. The concept is also true, but  
as "nothing outside like reason," as "nothing  
"All this follows."

This new research may be applied to the individual  
as well as to the group, but it is an appropriate concept  
with which to test characteristics of the new social re-  
quirement.

2. Learning

There are major groups toward an individual or two-  
group goal, recognition of this relationship may likely  
over time which is less dependent on recognition from  
without than one advances toward a group of individuals, re-  
cognition by that group is more often demanded. Group  
goals may collect and study groups, for example, for the  
own satisfaction without exposing recognition from the  
subject, but when he works to get his attention ready  
for the big competition he wants the group effort to be  
more of his contribution and he works his intention to  
be known by the group.

This need for recognition is an important factor in  
social groups. The need for communication when the is not  
limited to any rank, social group, age, or other classifi-



cation--it is inherent in the human being. The simple act of calling his subordinates by their names helps to show that an officer recognizes them as individuals and that their performance is not being accredited to an unidentified "you, there". Division officers and the senior petty officers should be required to keep the performance of their subordinates under surveillance close enough to insure that individual effort, or lack of effort, is noted. Telling a working party that an assigned job has been done only fairly well works a hardship on the man that put forth a sincere effort and similarly lets the group laggard know he would be foolish to contribute more. The responsible supervisor should be in a position to tell Johnson before the group that he had done an excellent job and Jackson privately that he should take steps to carry his share of the load.

Commendable acts, if of sufficient importance, should be brought to the attention of all hands. In this connection, it is wise to provide many areas in which individuals may excel. While everyone may not be the best boxer or most alert radar operator aboard ship, competition in many fields and among the divisions may be arranged so as to enable the greatest number of individuals to attain some measure of personal recognition from their shipmates.

The Field Research Section of the Bureau of Naval Personnel administered questionnaires under assured conditions

attention is focused in the same way. The simple  
 act of defining his responsibilities by their names helps to  
 show that an officer recognizes them as individuals and  
 that their performance is not being considered in an  
 undifferentiated "you, there", "you, there" way and the  
 soldier party officers should be required to keep the  
 performance of their subordinates under surveillance  
 close enough to insure that individual errors, or lack  
 of effort, is noted. Telling a working party that an ad-  
 vanced job has been done only fairly well would be a dis-  
 grace to the man that put forth a sincere effort and  
 especially to the group leader who would be looking  
 to contribute more. The responsibility supervisor should be  
 in a position to tell Johnson before the group that he  
 had done an excellent job and to do so privately that he  
 should have steps to carry his share of the load.  
 Similarly also, if of sufficient importance, should  
 be brought to the attention of all leaders. In this manner  
 it is wise to provide any news in which individuals  
 may excel. While everyone may not be the best leader or  
 most alert when speaking about army competition in many  
 fields and even the situation may be changed so as to  
 contain the greatest number of individuals to attain some  
 degree of personal recognition from their activities.  
 The field research section of the Bureau of Naval Per-  
 sonnel administered questionnaires under various conditions

of anonymity to over 11,000 enlisted separtees of every rate and rating in every major separation activity within the continental United States in the period between January and April 1948. These data were analyzed by E. C. Asman<sup>7</sup> to compare the morale of various sub-groups, broken down on the basis of duty assignment. By taking reenlistment as a criterion, most of the men would be considered to have very low morale: they gave the Navy a try and for one reason or another decided against it. Their responses to several questions give weight to the importance of recognition of the individual and the awarding of credit where due. To the question "Do you think your officers were interested in what you think and how you feel about things?" 47% said that few showed interest and that they were pretty much indifferent, and 24% said they ignored or rode rough-shod over the men's feelings. And to the question "Do you think your officers generally gave you credit for the work you did?" 18% replied they knew they didn't, 19% replied the officers did not know one way or another, and 18% replied they received credit only when their work was not satisfactory.

Commander Asman concludes (in part):

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<sup>7</sup>E.C. Asman, A Study of Some of the Factors Affecting the Morale of Separatees from the United States Navy, (unpublished thesis, The Ohio State University, 1950).

of activity to over 11,000 million expenses at every  
 rate and rising in every major economic activity with  
 in the continental United States in the period between  
 January and April 1955. These data were analyzed by  
 R.C. Adams<sup>7</sup> to compare the results at various sub-groups,  
 broken down on the basis of duty assignments, by taking  
 responsibility as a criterion, most of them would be  
 considered to have very low results; they gave the key a  
 try and for one reason or another decided against it.  
 Their responses to several questions give weight to the  
 importance of recognition of the individual and the  
 meaning of social status. To the question "Do you  
 think your efforts were rewarded in what you wish and  
 how you feel about things?" 47% said that they showed  
 interest and that they were really well satisfied, and  
 60% said they ignored or were disappointed over the non-  
 feeling. As to the question "Do you think your ef-  
 ferts generally gave you credit for the work you did?"  
 52% replied they were very dissatisfied, 10% replied they  
 were dissatisfied and some one way or another, and 38% replied  
 they received credit only when their work was not satis-  
 factory.

Commander James MacArthur (in part):

<sup>7</sup>R.C. Adams, A Study of Some of the Factors Affecting  
 the Morale of Personnel from the United States Army, War  
 Reliance Press, The Ohio State University, 1955.

The conclusion that the type of leadership these men have experienced was not of the highest order is inescapable. Although there were some differences between the groups in their attitudes in this field of relationships with superiors, by far the greatest percentage of all groups felt they were not recognized as individuals, did not receive credit for achievement and did not get fair and helpful supervision.

It is significant that these men were not so much concerned about the physical environment inherent in the different branches of the Navy, as they were about their relations with their superiors or the various administrative practices which affected them. For it is in the area of superior-subordinate relations that the greatest opportunity exists for the improvement of morale regardless of the branch of service involved.<sup>8</sup>

This conclusion is one in which the writer fully concurs.

### 3. Security

The third major morale requirement to be considered in this chapter is that of security. The assurance of fair and equal treatment is of great importance in promoting a feeling of security in an individual or a group. This is well illustrated in the above mentioned study where 57% of the separtees questioned gave their impression of Navy justice and discipline as being unfair or inconsistent, whether hard or soft. In this connection, a sound principle in personnel management effectively

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<sup>8</sup>Ibid., pp. 83 and 85-86.

The conclusion that the type of leader-ship these men have experienced was not of the highest order is inconceivable. Although there were some differences between the groups in their attitudes in this field of research, it is evident, by the greatest percentage of all groups, that they were not regarded as individuals, but as a group. Credit for achievement and his not fair and helpful evaluation.

It is significant that these men were not so much concerned about the physical environment as they were about their relations with their superiors in the various administrative positions which affected them. For it is in the area of superior-subordinate relations that the greatest opportunity exists for the improvement of morale regardless of the amount of money involved.

This conclusion is one in which the writer fully

believes.

### 3. Security

The third major research requirement to be considered in this paper is that of security. The essence of fair and equal treatment is of great importance in providing a feeling of security in an individual or a group. This is well illustrated in the above mentioned study where 87% of the respondents questioned gave their response of very justice and designing as being related to treatment, whether paid or not. In this connection a sound principle in personnel management effectively

stressed by Jucius<sup>9</sup> is to add to fairness the appearance of fairness; be fair, but also appear to be fair. In the belief that the majority of naval officers desire to administer justice even-handedly, it may be that the unfavorable responses to the last question were occasioned by the fact that the important element of appearing fair was absent in the cases of many of the separatees. The important objective of a feeling of security remains, however, and every effort should be made to make subordinates feel that they are to receive just and equitable treatment.

During the war a group of naval aviation cadets taking flight training were asked in anonymous interviews what their present work efficiency was, considering their most efficient past work as being 100%. The average cadet was found to be performing at around 65%. As these men were anxious to get their wings, why were they performing at an average of 35% below their peak? Intensive interviewing suggested two related negative factors: (1) the pervasive fear of failure, and (2) a fear of unfair evaluation of work.<sup>10</sup>

In such a situation, real efficiency is highly un-

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<sup>9</sup>M. J. Jucius, Personnel Management, (Chicago: Richard D. Irwin, Inc., 1948), p. 40.

<sup>10</sup>U.S. Naval Academy, Naval Leadership, (Annapolis: U.S. Naval Institute, 1949), pp. 47-8.

evidence of the fact that the Government  
 of the United States is not in a position  
 to furnish the necessary information  
 to the Commission in order that it may  
 be able to carry out its duties.  
 The Commission is of the opinion that  
 the Government should be held responsible  
 for the failure to furnish the necessary  
 information.

During the year a group of naval aviation  
 officers were sent to the United States  
 to study the development of naval aviation  
 in this country. These officers were  
 highly interested in the progress of  
 naval aviation in this country and  
 were particularly interested in the  
 development of the carrier aircraft  
 group. The officers were highly  
 impressed with the progress of naval  
 aviation in this country and were  
 particularly impressed with the  
 development of the carrier aircraft  
 group.

In such a situation, every effort should  
 be made to secure the necessary  
 information.

U.S. Navy, Bureau of Naval Personnel,  
 Washington, D.C.



likely. But

if the chances of success are reasonably good, and it appears that success is not accidental but fairly and inevitably dependent on high effort and good performance, personal morale will be high and work will be efficient. The hardship of work will be taken in stride.<sup>11</sup>

In this situation it is easily seen that fear (of failure and of unfair evaluation) operated to produce a feeling of insecurity with accompanying reduced performance.

Another aspect of security is a type of stability. While military activity is not the most predictable there is, morale may be seriously affected by incomprehensible changes. This concept allies itself closely with the ones previously discussed, the importance of knowledge of objectives and the reasons why performance is required. It may be extended, however, to include the desirability of letting subordinates know as far in advance as practicable of proposed alterations to an established routine. Accordingly, it would be poor practice to give a man two hours to pack and catch a train for a training school when his orders have been aboard ship for a week. Similarly, scheduled activities should be carried out as announced. If the crew has worked to prepare for an inspection, it should not be cancelled at the last minute because it may

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<sup>11</sup>loc. cit.

If the amount of success and membership goals  
 and if success is not achieved  
 but failure and membership goals are high  
 effort and performance, personal goals  
 will be high and very high in relation to  
 persistence of work will be seen in studies.

In this situation it is really seen that fear of  
 failure and of certain evaluation) operated to produce a  
 feeling of tension with some-what related perfor-  
 mance.

Another aspect of anxiety is a type of stability.  
 While anxiety activity is not the most productive there  
 is, some say is seriously affected by inoperability  
 changes. This concept also itself closely with the more  
 provisionally discussed, the importance of knowledge of ob-  
 jectives and the reasons why performance is required. It  
 may be assumed, however, to include the desirability of  
 setting objectives now as far in advance as possible  
 of proposed situations to an established routine. So-  
 continuing, it would be best practice to give a man two  
 hours to read and catch a train for a training course when  
 the train has been about 400 for a week. Similarly,  
 scheduled activities should be reviewed and announced.  
 If the man has nothing to prepare for an inspection, it  
 should not be expected at the last minute because it will

Activity 101

be inconvenient to the skipper.

In connection with this discussion of security and stability, the following has been said about industrial unrest:

Industrial unrest manifests itself in a more or less continuing state of uncertainty, uneasiness, and aimless activity arising out of unaccounted-for fears or unsatisfied longings.

To seek something better is not to be frowned upon either on the part of individuals or on the part of groups. Wise leaders recognize that change is a requisite of progress. The attitudes of people differ markedly with reference to change. Some persons are constitutionally opposed to change. They desire security even on a low level if necessary and look upon change as endangering their security. Other people seem to be constitutionally eager for the new and untried. Radical change is difficult for the masses to adjust to even though they may have advocated it at the time of its initiation. Gradual change is more in keeping with man's natural temperament.<sup>12</sup>

Taking this lesson from industry, the shipboard administrator would do well to seriously consider the possible effects of proposed actions that may be thought to be radically out of line with established precedent. This takes us back to the initial consideration of the importance of keeping all hands informed of "why". All the requirements discussed in this chapter are highly interrelated, and all should be kept in mind in personnel administration.

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<sup>12</sup>W.D. Scott, R.C. Clothier, S.B. Mathewson, and W.R. Spriegel, Personnel Management, (3rd ed.; New York: McGraw-Hill, 1941), pp. 433-4.

is essential to the subject.

In connection with this discussion of security and stability, the following has been said about industrial

Industrial investment is not to be  
have or lose something else of investment  
unpleasant, and since actively engaged  
it unaccounted-for years or unutilized jobs

To best describe policy is not to be  
flowed upon either to the part of individuals  
or on the part of groups. The leaders recog-  
ize that change is a requisite of progress.  
The attitude of people differs markedly with  
reference to change. Some persons are con-  
sistently opposed to change. They desire  
security even to a low level of necessary and  
jobs upon change as endangering their security.  
Other people seem to be constitutionally eager  
for the new and untried. Radical change is  
desirable for the reason to adjust to ever changing  
conditions. Radical change is now being  
after many years' experience.

During the lesson from industry, the highest of  
indicators which do not be seriously consider the im-  
pact effects of proposed actions that may be thought to  
be reflected out of line with established precedent. This  
does in fact to the initial consideration of the im-  
pact of keeping all hands informed of "why" all the re-  
quirements discussed in this chapter are highly interrelated,  
and all should be kept in mind in general evaluation.

Dr. J. B. ...  
School of Business Administration, New York University  
New York, N.Y.

## CHAPTER V

### INCENTIVES AND MOTIVATION

If it were possible for a skipper to hand pick his crew, he would choose those whom he knew were well adjusted and highly motivated toward the service and its objectives. Unfortunately, this cannot be done, and the best must be made with the manpower assigned.

Many military groups are forced groups, but this does not mean they cannot become effective groups. If group membership is psychologically rewarding, officers and men will identify with it, will work for this group and not merely for personal advancement or for purposes of keeping their professional consciences clear. But where the group is forced, identification with it or morale in it cannot be expected, to happen automatically. Some military organizations never do become real groups . . . . Most military outfits, though initially forced, do become real and effective groups.<sup>1</sup>

The problem becomes one of making the individuals want to become effective. In this chapter considerations will be made of providing incentives and motivating personnel toward a state of high morale. In addition to positive and negative incentives, sections will be devoted to two typical situations--indoctrination of new

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<sup>1</sup>U.S. Naval Academy, Naval Leadership, (Annapolis: U.S. Naval Institute, 1949), p. 165.

CHAPTER 7

INDIVIDUAL AND COLLECTIVE

It is well known that a single individual is not  
 free, he would know that he is not free and  
 would not be able to do anything towards the  
 realization of his freedom. This is the case of  
 the individual, he is not free and he is not  
 free to do anything towards the realization of  
 his freedom.

Any individual is not free and he is not  
 free to do anything towards the realization of  
 his freedom. This is the case of the individual,  
 he is not free and he is not free to do anything  
 towards the realization of his freedom. This is  
 the case of the individual, he is not free and  
 he is not free to do anything towards the  
 realization of his freedom. This is the case of  
 the individual, he is not free and he is not  
 free to do anything towards the realization of  
 his freedom.

The problem becomes one of making the individual  
 free to become effective. In this sense, the  
 individual will be made of everything individual and  
 collective. In addition to the individual, the  
 collective and the individual, the individual will be  
 free to become effective. In this sense, the  
 individual will be made of everything individual and  
 collective.

U.S. Social Science Research Council, (Annals)  
 1950, p. 102

men and the correction of past mistakes.

### 1. Positive Incentives

The specific positive incentives available to the shipboard administrator are, for the most part, applications of the fundamental morale requirements discussed in the preceding chapter. In applying these principles, he is aided by the traditions and prestige of the Naval service developed over many years and providing for a continuity of purpose and method. Upon joining the service, the individual finds himself identified with a new group.

Equally important with the various cognitive and motivational factors affecting morale . . . are those factors of an emotional sort having to do with feelings of group solidarity, identification, involvement, and the like. These emotional factors are inseparable, of course, from all the other morale determinants.

It can be expected that, other things being equal, the more closely the individual members identify themselves with the group, the higher the morale of the group will be.<sup>2</sup>

Recognizing this fact, over the years the military has made the group distinctive, psychologically and physically. Aside from its objectives, it is made distinctive by the use of formal leadership, organization, uniform, ceremony, symbols, and the like, that set

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<sup>2</sup>David Krech and R.S. Crutchfield, Theory and Problems of Social Psychology, (New York: McGraw-Hill, 1948), p. 412.

and not the correction of past mistakes.

1. Positive Incentives

The specific positive incentives available to the individual are determined by the nature and extent of the individual's performance. In the preceding chapter, in explaining these incentives, we are aided by the conditions and purposes of the social service developed over many years and provided to a group. Similarity of purpose and reward. When joining the service, the individual finds himself identified with a new group.

Specifically important with the various positive and motivational factors affecting social life, are those factors of an emotional sort which lead to the feeling of group solidarity, identification, investment, and the like. These emotional factors are in general, of course, true of all the other social determinants.

It can be suggested that, other things being equal, the more closely the individual's behavior is identified with the group, the higher the morale of the group will be.

Recognizing this fact, over the years the following

has made the group distinctive, psychologically and socially. Aside from the objectives, it is also distinctive by the use of formal language, organization, uniform, ceremony, symbols, and the like, that are

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definite boundaries between the members and the non-members. The natural desire on the part of an individual for group approval and recognition may thus be exploited by the military administrator as a positive incentive.

Commander Harlow writes:

Therefore, although you cannot neglect such institutional factors as the Navy's traditional prestige, ceremonies, and other formalities, you should remember that they are psychological tools and not objectives. To every leadership problem you meet, you can, while following the prescribed "Navy way", still apply the personal methods of persuasion and dominance. It is only in this manner that you can influence your men to bring to their tasks the enthusiasm and the extra ounce of spontaneous effort that so often spell the difference between failure and success for the whole command.<sup>3</sup>

Another consideration in the application of basic morale-determining principles is that participation of the individual in group activities is essential.

Requiring the individual to assume responsibilities ensures that he will feel more deeply involved and identified than if he is permitted to exist passively in the group.

. . . group identification can be enhanced by involving the individual in the group in as many different aspects of his personality as possible.<sup>4</sup>

Thus, the positive incentives that the shipboard administrator may use are numberless: all applications of principles that recognize fundamental morale requirements.

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<sup>3</sup>A.M. Harlow, "A New Look at Naval Leadership", U.S. Naval Institute Proceedings, 76 (Nov. 1950), p. 1223.

<sup>4</sup>Krech and Crutchfield, op. cit., p. 415.

believe boundaries exist in the abstract and the non-abstract.  
The natural desire on the part of an individual for group  
approval and recognition may thus be explained by the  
diffuse individualism as a positive individual.

Commentary on the above

Therefore, although you cannot define such an  
abstract desire as the group's traditional  
growth, recognition, and other functions, you  
should remember that they are psychological  
facts and not objectives.  
To every individual's problem you must, you see,  
first follow the principle "Why not?" until  
you find the present mode of behavior, but  
sometimes, it is not in this manner that you  
can influence your mind to bring to their  
the attention and the nature of experiments  
allow that to often fall the distance between  
theory and practice for the individual.

Further consideration in the application of this  
model-determining principle is that participation of the  
individual in group activities is essential.

Regarding the individual as a social responsibility  
person that he will not be easily involved and  
isolated from it he is expected to work par-  
tially in the group.  
... group identification can be induced by in-  
volving the individual in the group in as many dif-  
ferent aspects of his personality as possible.

Thus, the positive incentive that the individual ex-  
periences may not be sufficient; his participation of  
principle that involves fundamental social responsibility.

<sup>1</sup>A. W. Lippitt, "A New Look at Social Psychology," *U.S. Social Science Information*, 10 (1971), 1-10.

Knowledge of one's mission, one's progress, one's status, assurance of fair treatment and opportunity, a feeling of group solidarity and individual dignity are all vital to good morale. There is no need to pile up evidence to prove that the value contributed to morale by U.S.O. shows and the like is at best questionable; the end results accomplished by military organizations do not correlate with entertainment and beer,<sup>5</sup> but rather with the application of principles basic to the successful handling of men.

## 2. Negative Incentives

Negative incentives, as well as positive incentives, are frequently misunderstood, both as to their reason for being and their effectiveness. Fear of a loss is substituted for desire for a gain when negative incentives are employed. The loss may be at many levels: prestige, personal freedom, status, financial, privileges, life itself. In considering the administration of negative incentives, it is well to keep in mind that it often is the certainty of the loss rather than its severity that is greater in deterring the undesired behavior. Threatening to award a severe punishment to those caught in a misdeed will not have the

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<sup>5</sup>The writer found very amusing a national advertisement sponsored by the United States Brewers Foundation in April, 1951, supporting the statement that in time of emergency beer is essential to public morale.

Knowledge of one's mission, one's progress, one's status, awareness of fair treatment and opportunity, a feeling of group solidarity and individual dignity are all vital to good morale. There is no need to pile up evidence to prove that the values enumerated in morale by U.S.A. Jones and the like is at best questionable; the real results accomplished by military organizations do not correlate with the maintenance and boost, but rather with the application of twin-principles in the universal handling of war.

2. Negative Principles

Negative principles, as well as positive principles, are frequently misunderstood, both as to their meaning for being and their effectiveness. Loss of a job is usually cited for being for a man when negative principles are applied. The loss may be at any level: personal, personal freedom, status, financial, intellectual, life itself. In considering the administration of negative incentives, it is well to keep in mind that it often is the certainty of the loss rather than the severity that is greater in determining the undesired behavior. Therefore to meet a severe punishment in those cases in which it will not have the

<sup>1</sup>The writer found very convincing evidence that the writer was supported by the United States Government in April, 1951, supporting the statement that in time of emergency there is essential to public morale.

desired result of preventing the misdeed if the odds are poor that one would be caught.

To be effective, the loss must be a real one. Certain punishments may be thought by seniors to be severe (and therefore effective) while in eyes of the guilty one and his group no loss has occurred, and, in fact, the "punishment" might result in a higher status for the miscreant. Getting away with inadequate punishment can be as exhilarating as getting away with forbidden behavior; either can serve to make a man a hero to his group. Over a period of time this competition with authority can do great damage to morale. Great care must be taken in the administration of negative incentives to insure that this competition does not mushroom, especially along lines of informal organization. A high state of morale, which implies cooperation with authority, will generally be reached where negative discipline is kept at a minimum; the use of positive incentives is greatly preferable to the use of those that result in personal or group losses. But as this is not always possible, a few remarks will be made on the administration of punishment.

The Navy Inspector General<sup>6</sup> stressed the harm that is done to morale and discipline by the use on the part of

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<sup>6</sup>Admiral Hewlett Thebaud, in a speech to the Midshipmen at the U.S. Naval Academy, January 19, 1947.

desired results of governing the world in the same  
 way that one would be happy. The loss must be a certain  
 To be effective, the loss must be a certain  
 punishment may be brought by means to be devised (and  
 therefore effective) which in spite of the difficulty and  
 the group no loss has occurred, and, in fact, the "punish-  
 ment" might result in a higher status for the individual.  
 Starting away with inadequate punishment can be an  
 illustrating an existing way with sufficient reason; either  
 can serve to raise a man a hero to his group. Over a period  
 of time this cooperation with authority can do great damage  
 to morale. Great care must be taken in the administration  
 of negative incentives so that the individual does  
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 zation. A high state of morale, which implies cooperation  
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 ministrative of punishment.

The Navy Inspector General's report on the part of  
 does to morale and discipline by the use on the part of

Captain Harold G. Johnson, in a report to the Board  
 on the U.S. Navy Academy, August 19, 1947.

certain misguided individuals of unofficial punishments improvised by themselves. "These may be effective up to a certain point, but in the long run they do infinitely more harm than good." Their illegal use is known to the men and merely serves to irritate and to arouse the bitterness of resentment.

As was brought out in the Asman study, punishment should be fair and just; this means that it should be administered impartially and impersonally. One should be made to feel that punishment is coming from the Navy and not from an individual, either the commanding officer or his representative. This means the elimination of any feelings of personal dislike, anger, prejudice, and the like. It further means that punishment administered should be forgotten; personal feelings are likely to develop if one is constantly reminded of his correction.

Punishment to be most effective should be inflicted as soon as possible after the offense has been proved. Delay may easily lessen its value as a corrective measure.<sup>7</sup>

Punishment cannot rectify a mistake once made. Fear of punishment may prevent a mistake; it is a tool, and it should not be used otherwise--constant threatening does not serve to build confidence in the organization and in the justness of superiors. Every person in authority

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<sup>7</sup>U.S. Naval Academy, Naval Leadership, (Annapolis: U.S. Naval Institute, 1949), p. 243.

... certain... up to a... point... their... and... of...

... in the... should be... established... case... and... his... feelings... life... be... one is...

... should be... and... the...

U.S. Naval Academy, Annapolis, Md.  
U.S. Naval Academy, Annapolis, Md.



should make certain he does not foster fear of punishment merely to enhance his own prestige; such action may easily have results opposite to those desired.

One line of reasoning tending to prove the greater effectiveness of positive over negative incentives is that the former develop feelings of group accomplishment and pride in the organization. This pride causes individuals to avoid bringing discredit on the organization, and this same pride causes the group to police itself in large measure thereby avoiding many disciplinary problems. Fear of group disapproval may act to deter behavior where fear of individual loss, after consideration of the risks of being caught, may not. In any case positive incentives add to morale while negative ones can at best maintain it.

### 3. Indoctrination

So far this discussion of motivation has been fairly general. The actual application of fundamental morale determinants and incentives will vary from situation to situation and from ship to ship depending on circumstances and the personalities of the responsible administrators. As an example, the problem of indoctrination of newly arrived men aboard ship may be handled in several ways. This section will consider this problem as typical of the many that occur in the fleet; it would be impossible to consider



them all. One other problem, that of correcting past mistakes resulting in a state of low morale, will be considered in the next section.

When a man reports to a new command, it is desirable for him to become an efficient team-mate as soon as possible. He is no different, basically, from the rest of the crew; he has the same needs and his differences from the existing group of men are of degree rather than of kind. With men of long naval service, the integration with the crew should not be too long a process; with inexperienced youngsters, the program should be more carefully planned; and recognition of individual differences should be made in all cases. Many vessels have found it of value to have written procedures to be followed in the indoctrination of new men. Large drafts of men are frequently received aboard with little or no advance notice. At those times an advance plan or procedure is of great benefit.

Recognizing the importance of knowledge of objectives, the new man, during his indoctrination, should learn the objectives of his ship, its characteristics, and what its mission is. He should learn the objectives of his department and the gang to which he is assigned. The exhausting work of periodically servicing a torpedo becomes more reasonable when one understands the importance of this servicing to the proper functioning of the torpedo and the



successful completion of one of a destroyer's missions.

Provision should be made for the recognition of the new man as an individual. One plan is for a responsible petty officer, chosen for his interest, to take a small group around, showing them their compartments, introducing them to the group with which they will be assigned, and generally displaying an interest in their getting settled. If a new man has a family, and if circumstances permit, to grant reasonable liberty to get them settled in a strange city will go a long way to getting him off to a good start-- it is widely recognized that a new arrival is of little value and fails to learn if serious domestic problems are on his mind. Such recognition of individual needs makes for a frame of mind receptive to his new assignment. The interest of the command in the individual, of which these examples are but a few of many, prepares the way for interest of the individual in the command. The reverse also holds: it is improbable that a man will show interest in the command if none is shown him. With small initial effort, a sound basis for future relations may be established from the beginning. If the new man has an outstanding record from his last duty station, it will not hurt to let him know it has followed him. And if he has a name, it should be learned and used.

Pigors and Myers write:



A friendly welcome to the organization is not the only purpose of good induction, however. An equally important objective is to give the new employee accurate and useful information about the company, the employee services it offers, and the personnel policies that will affect him as well as all other employees.

Experience with well-planned employee-induction programs in industry, in government, and in the armed services is so favorable in terms of subsequent employee satisfaction and performance that no organization, except possibly a very small one, can afford to omit this procedure from its personnel program.<sup>8</sup>

Security in the new man should be developed as soon as possible. Knowing where he fits in the organization and what the organization expects of him is of great importance. The indoctrination of the new man aboard ship should include an explanation of the ship's organization, ship's orders and policies, procedures he should know, and who the key individuals are that he will have dealings with. It is one thing to tell a man that the paymaster takes care of all pay records and another to take him to the supply office and tell him that Lt. Smith will be glad to see him at 1030 any weekday to register an allotment to his dependents. The less the new arrival feels he is at the mercy of a disinterested "system" the greater will be his sense of security. The whole indoctrination program should be aimed at giving the new man

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<sup>8</sup>Paul Pigors and C.A. Myers, Personnel Administration, (New York: McGraw-Hill, 1947), p. 160.

A further volume of the organization is not the only purpose of good industrial law. An equally important objective is to give the new employee accurate and useful information about the company, its policies, services it offers, and the personal policies that will affect him as well as all other employees.

Agreements with well-known companies in education progress in industry, in government, and in the most advanced in the world in terms of advanced scientific and engineering performance had an educational, social, and a very real one, and that is that the progress from the industrial revolution.

Country of the new world is developed as well as possible. Growing more in the organization and that the organization experts of the new world should include an expansion of the world's professional rights system and policies, procedures to make them and who the key individuals are that will have their wish. It is one thing to tell a man that the reader takes care of all your interests and makes it his to the supply chain and sell his time in. This will be glad to see him as I can say really be register an attachment to his dependence. The fact is not that this is as an example of a distinguished person, the writer will be in some of society. The world in educational progress should be aimed at giving the new

<sup>2</sup> Paul Hirsch and C. A. Brown, Personnel Administration, (New York: McGraw-Hill, 1947), p. 103.



a sense of belonging to his organization.

#### 4. Correcting Past Mistakes

The second problem to be considered in connection with the shipboard application of principles of morale is that of correcting mistakes made in the past that have resulted in an organization's having a low morale. This can be either the entire command or any segment thereof. In any case, it is well to attempt to discover where and why morale is poor. In this connection, in industry it has been found that:

An analysis of the morale of various groups may reveal wholly unexpected results. For instance, the rank-and-file workers may score higher than the minor executives, a condition that may indicate to top management that they have taken too much for granted in connection with their treatment of these minor executives. Employees of from 5 to 10 years' service may show a lower morale score than shorter service employees. Older employees with the same length of service as younger employees often show a higher morale score than the younger employees. These results are not easily explained. However, a determination of the facts may lead to further investigation as to causes that will lead to corrective measures either in initial employment and training or in the handling of long-service employees.<sup>9</sup>

While this method of locating poor morale may hold aboard ship, it is more probable that the grouping will be

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<sup>9</sup>Scott, Clothier, Mathewson, and Spriegel, op. cit., p. 513.

a sense of belonging to his organization.

4. Corrective Feedback

The second problem to be considered in connection with the application of principles of service is that of correcting mistakes made in the past. This is not an organizational having a few errors. This can be done by the entire command or by a single officer. In any case, it is well to attempt to discover where the mistake is made. In this connection, it is necessary to have been found that

An analysis of the nature of various groups may reveal which corrected service. For instance, the most effective means may come through the minor executive, a position that may indicate to top management that they have taken too much for granted in connection with their treatment of those who are concerned. Improvements of from 5 to 10 years' service may show a lower morale score than shorter service employees. Other employees with the same length of service as younger employees often show a higher morale score than the younger employees. These results are not easily explained. However, a determination of the facts may lead to further investigation as to causes that will lead to corrective measures either in initial employment and training or in the handling of long-service employees.

With this method of locating error service may find should this, it is our opinion that the grouping will be

George, O'Leary, Newman, and Douglas, one of the  
p. 215.

by departments or gangs rather than an over-all age division. If this proves to be so, the individual in charge of the dissatisfied group should be evaluated in the light of what basic principles he is failing to apply.

And as to determining why morale is poor, in industry it has been found that:

Employee-attitude studies provide one of the most valuable methods of determining the current status of personnel relations. These studies may reveal that supervision is satisfactory but working conditions are not in keeping with the employees' desires, that wages are satisfactory but that supervision is entirely inadequate, that the training program is not meeting the requirements of the employees, that promotions in the eyes of the employees are not being made on merit, or many other aspects of personnel management that are vital to effective operation of the enterprise.

Management as a rule is desirous of doing the right thing for its employees but is often baffled to know what is the right thing to do and what the employees' reactions are to what is being done.<sup>10</sup>

As discussed in the previous chapter, shipboard measurement of morale does not take advantage, as does industry, of formal attitude studies. However to determine reasons for poor morale, some measure of attitudes must be made: one cannot correct a situation when the reasons for that situation are not known. Responsible seniors should make their estimates of attitudes as accurate as possible by studying methods of interviewing and by training to observe reflections of morale. For example,

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<sup>10</sup>Ibid., pp. 515-6.

by themselves to make value less an over-all  
thing. It has proved to be so, the individual in charge  
of the institution every month he evaluated in the light  
of what basic principles he is failing to apply.

It has been found that:

- 1. The most valuable method of determining the current status of personnel relations, those which are reviewed that supervisor is satisfactory but
- 2. Existing conditions are not in keeping with the supervisor's belief, that when an individual is put that supervisor is entirely satisfactory, that the training program is not meeting the needs of the employees, that conditions in the eyes of the employees are not being made or words or any other aspects of personal management that are vital to effective operation of the enterprise.
- 3. Management as a rule is unaware of being the right thing for the employees but is often called to know what is the right thing to do and the employees' reactions are to what is being done.

As discussed in the previous chapter, individual arrangements of people does not take advantage, as does industry, of these simple statistics. However, in determining reasons for poor results, some measure of statistical value to make one aware of what is being done in the various for that individual are not known. Responsible workers should make their relations of statistics as records as possible by studying records of their own work and by training in positive relations of people. For example,

one should recognize insubordination as an index of morale, and one should, through formal or informal interviews, be able to strike at the roots or reasons for this misconduct. This should be done not merely to punish the offender but to enable the causes to be identified and eliminated.

The actual rebuilding of a high state of morale consists of applying basic principles. The following discussion will illustrate how over a period of about two years morale of a naval air station was raised from a discouraging low to a very high state.<sup>11</sup> The principles used are considered to be valid afloat or ashore. The command in question was charged with training enlisted aviation ratings. When the activity was reactivated after several years in a stand-by status, the morale was poor. The problem was approached and solved through the enlisted instructors attached to the command. Formerly they had been berthing and messing alongside the trainees; they were given barracks and mess halls of their own. Formerly their hours of instruction were unbalanced and unequal; the teaching load was distributed, each instructor taught a maximum of six hours a day and was assured of two hours

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<sup>11</sup>Material for this discussion was obtained by interviews with personnel of the Naval Air Technical Training Command, notably Mr. J.C. Howard, in January, 1951.

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free, those periods following a pre-planned schedule. The instructors were given authority commensurate with their responsibilities, they were awarded extra privileges and incentives, and their individual achievements were recognized. For outstanding work or new ideas, the enlisted instructors had their accomplishments published and accredited to them by name and rate. Thus pride and appreciation of the importance of the duties of the rate as well as of the individual was acknowledged; photographs and articles in publications distributed service-wide carried greater prestige than just in a paper published for the command, although the station paper was developed into an excellent one.

The morale of the students was improved by the new attitudes of their instructors. The instructors were in the class to help; the school was vocational, and scholarship for its own sake was not the goal. The enlisted instructors could speak on the level of the students, yet there was no frivolity and the instructors required respect. All hands were impressed with the fact that claims were to be backed up: if the men were promised something, they could expect to get it.

Advisory boards were established to counsel and advise men on academic, personal, financial and other problems. This service, while voluntary, became popular when the sin-

These, through the following 4-year period, were  
 instructed were given exactly the same  
 responsibilities, they were awarded some points on an  
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 nized. For outstanding work on their part, the original  
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 the individual was emphasized; the organization and studies  
 in positions directly and indirectly involved greater  
 training than just in a paper published for the moment,  
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 one.

The results of the research are reported by the way in  
 terms of their instructions. The instructions were in the  
 form of leaflets; the school was practically an organization  
 for its own sake and not for profit. The selected teachers  
 were called upon to the level of the economy, for their  
 own in efficiency and the instructions required research. All  
 these were connected with the fact that studies were to be  
 conducted and if the results were published, they would  
 appear in the journal.

Advisory boards were established to counsel and advise  
 and on economic, technical, financial and other problems.  
 This service, while voluntary, became regular when the dis-



care interest of the boards in the men had been demonstrated.

Service facilities were expanded. Each man upon reporting for duty receives a packet containing instructions, information on housing, maps of the area, and tips on what to do with their family, prices, points of interest, recreation, and the like. The process of checking in was simplified and localized; in the past it had required traveling 23 miles to complete. On departure, the checking out process was cut to 1-1½ days.

Clubs for the recreation of chief petty officers and petty officers are cared for by their members; they offer excellent entertainment and recreation features. Other activities include clubs for conducting almost any hobby, a garage where the men may buy parts at cost and repair their automobiles with tools provided, musical and dramatic groups, and the like. In all instances, the success of the recreation program is due to active participation. This is held to be an element vital to the success of similar programs, regardless of the size of the organization, ashore or afloat.

When this command was reactivated, the grounds and buildings were badly run-down. Realizing that the physical appearance of the plant affects morale, a long-range plan of beautifying the station was put into effect. Personnel

... have interest of the board in the new set of ...  
 ... limited.  
 ... Services facilities were completed, each one ...  
 ... testing for but received a report containing ...  
 ... information on housing, rate of the ...  
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now attached to the command may take pride in their station.

By making instructing carry more prestige, the duty has become more desirable--many instructors return again for duty at this station at their own request. Relations between the naval personnel, the civilian employees and the townspeople are excellent. The command conducted a campaign in the local papers to effect this cordial situation. Articles aimed at educating the townspeople carried messages such as those that reminded them that the sailor is their neighbor's boy, that he probably misses his own home, and what are they doing about it? This campaign has been highly successful, with many servicemen finding social outlets in the city's homes, canteens, clubs and churches.

From the above example, it should be clear that morale can be improved, no matter how badly it may appear to have slipped. Considerable ingenuity is often required, however, in applying morale-building principles. One device found helpful is the use of so-called "morale-carriers", those individuals respected by their fellows and commanding more-than-average attention in the informal organization. By convincing them of the honest interest and intentions of their superiors, they may carry or convey this interest to members of the command who for one reason or another

now attached to the command but some weeks in length

of service.

By careful instruction every man provided, the duty

has become more available--and instruction returns again

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between the naval personnel, the civilian employees and

the company's are excellent. The command consisted a

majority in the local people to select this station

attracted, various other at obtaining the company's

various means which as these times resulted from that the

majority in their individual's pay, that as probably almost

his own home, and what are they doing about it? This same

majority has been highly successful, with many persons

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and improvement, in either one or both of these, to have

elaborate, considerable quantity is often required, that

every, in every possible manner. The service

from which is the use of so-called "moral-spiritual"

these individuals reported by their fellow and commanding

more-than-ordinary attention in the various organizations

by connecting them at the highest interests and interests

of their respective, they may enjoy or convey this interest

to members of the command and for the reason of another

cannot be reached directly. The element of rapport is of great importance in exchanging views, ideas and desires-- it is impossible to talk with a person who will not listen. To achieve cooperation, communication is essential; this may be accomplished in many instances by dealing with the influential, the respected, and the interested members of the command.



## CHAPTER VI

### INTERVIEWING

Communication is essential in directing human activity. A serious conversation directed to a purpose other than satisfaction in the conversation itself is an interview; it includes facial expression, gestures, inflection, and other means of face-to-face communication as well as spoken words: they all contribute to the purposeful exchange of information which is the interview.<sup>1</sup> Some activities demand greater experience and expertness in interviewing than others; some professions--law, medicine, social and psychological investigation, to name a few--have developed effective techniques to accomplish their ends. A knowledge of the problems and procedures of these experts is of great help to the administrator upon whose handling of men the morale of his organization may depend.

The nature of the interview varies with the use to which it is to be put; these uses have been reduced fundamentally to three: fact finding, informing, and motivating.<sup>2</sup> In other

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<sup>1</sup>Walter Bingham and E.V. Moore, How to Interview, (3rd ed.; New York: Harper & Brothers, 1941), p. 1.

<sup>2</sup>Ibid., p. 27.

CHAPTER 7

INTERVIEWING

Commission is awarded in discussing inner activity.

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so there is little, following, and noteworthy. In other

Interviewing and E. V. Moore, How to Interview, 1954  
ed. by John Wiley & Sons, Inc., p. 1.

1954, p. 27.



words, a person is interviewed in order to learn something from him, to tell him something, or to influence his feelings or his behavior.

Aspects of the first two uses of the interview that are of value to the naval officer will be considered in this chapter. The following chapter on counseling will consider pertinent aspects of the second and third fundamental uses of the interview.

The objective of the interview should, first of all be clear in the mind of the interviewer. It has been the experience of the writer that formality is not a necessary ingredient to the success of an interview; the establishment of rapport is of greater importance, whether the objective of the interview is to determine knowledge about specific events or an interviewee's own attitudes and feelings.

### 1. Interviewing to Determine Facts<sup>3</sup>

The interview technique to determine facts should be used with caution and discriminatingly; if more reliable sources, such as documents or actual observation of situations, are available, the interview is usually un-

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<sup>3</sup>Chapter 2, Bingham and Moore, op. cit., contains a complete discussion of this subject, together with 60 major points of consideration and suggestions for interviewers.

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Chapter 2, Interviewing and Counseling, pp. 11-12 contains a more detailed discussion of this subject, together with 50 major points of consideration and questions for interviewers.

desirable. Here, it may most profitably be used to determine leads and gain access to more objective data.

The interview may be a useful tool with relation to psychopathology:

The officer will not be called upon, of course, to diagnose or treat any extremely deviant behavior. But he should be able to recognize abnormal behavior when it occurs in his unit. Since the abnormal is almost always merely an extreme form of the normal, the study of everyday behavior should aid in recognizing the serious departures from the normal.

To understand and control human behavior, either normal or abnormal, we need to deal with it on the level of causal dynamics rather than in terms of superficial common sense.<sup>4</sup>

The interview is a valuable technique for studying human nature as it may be directed to the discovery of what lies behind behavior.

As the interview to determine facts is only loosely connected to the topic of this thesis, this subject will not be developed beyond the above comments. Reference was made to an outstanding work in this field. The importance to morale of accurate fact-finding and investigating, as in misconduct reports and charges of neglect of duty, is, nevertheless, great, and not to be underestimated by reason of the brevity of this section.

## 2. Interviewing to Determine Attitudes

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<sup>4</sup>U.S. Naval Academy, Naval Leadership, (Annapolis: U.S. Naval Institute, 1949), p. 70-71.



Chapter III contrasted the use of attitude studies in industry and in the naval service. In the Navy, the poll has never been appreciably used, either to directly determine action or to measure morale. Thus a study of the personal interview, as used to throw light on attitudes, to measure them, and to alter them, may prove of value to the fleet.

Personal interviews have been used in industry to accomplish the threefold purpose of supplying management with information regarding conditions and attitudes, releasing the will to work among employees and supervisors interviewed, and building up a supply of valuable case material to be brought to the attention of supervisors and executives.<sup>5</sup>

As a means of achieving insight, interviewing is an essential device for diagnosing organizational stability . . . .<sup>6</sup>

Similar benefits may be obtained by the shipboard administrator, without lessening the prestige of military command or risking accusation of conducting a "popularity poll", an obstacle to the use of attitude surveys. Benefits of intelligent interviewing could accrue to all con-

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<sup>5</sup>Bingham and Moore, op. cit., ch. 9, "Interviewing Workers about Employer-Employee Relationships."

<sup>6</sup>Paul Pigors and C.A. Myers, Personnel Administration, (New York: McGraw-Hill, 1947), p. 80.

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① Binham and Moore, op. cit., p. 9, "Interviewing Workers about Employer-Employee Relationships."

② Paul Wilson and C.A. Moore, Personnel Administration (New York: McGraw-Hill, 1937), p. 11.

cerned; it is unnecessary to document the statement that failure to communicate easily leads to misunderstanding and conditions unfavorable to good morale. It is not an indication of lack of leadership or failure to command for one in a position of responsibility to consult with subordinates; this is recognized by the great majority of military administrators. However to increase the effectiveness of such communications by the practice of proved interview techniques is an objective, the accomplishment of which warrants study by those who interview. Hit-or-miss methods may be replaced by those found to be more scientific. The techniques of the interview need not be saved for special or formal occasions; they should be an integral part of day-to-day functions. The skilled administrator will have rapport with his subordinates developed in order that they will not worry "what did I do wrong now?" every time they are summoned for a consultation. He will have them accustomed to the situation of the interview in order that the required communications may be made quickly and effectively.

This requirement of rapport, a harmonious relationship, could theoretically extend through the chain of command. It is not to be expected that all seamen would feel at ease talking to an admiral face-to-face, but, and again theoretically, he should be able to talk to him through intermediate authorities. Human nature, however, insures the odds that

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somewhere along the line the communication will be broken.

In discussing one rule of interviewing industrial workers, Roethlisberger and Dickson write:

The interviewer should do everything to help the worker feel at ease. There are many different ways of accomplishing this end. . . . The worker is likely to be resentful of any display of authority, or of any indication of his social subordination. The interviewer, therefore, should guard himself against displaying authority in any of its forms. He should not give any orders to the interviewee, and, of course, he should never violate any confidence given to him. He should also avoid the more subtle forms of displaying authority, such as contradicting the worker, interrupting him, taking the role of the teacher, or treating his ideas lightly.<sup>7</sup>

The conductors of this research program found it necessary to obtain their interviewers from persons not in the hierarchy of authority in order to achieve the rapport needed to reveal the desired data, the feelings of the workers. Therefore, the military chain of command, possibly more so than the industrial, due to the great significance placed on rank and authority, should not be relied upon for a free flow of expressions of feelings and attitudes. Human proclivity to respect rank, one's apprehension of authority, prevents it.

This being the case, that a responsible administrator may not rely upon his immediate subordinates to relay the

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<sup>7</sup>F.J. Roethlisberger and W.J. Dickson, Management and the Worker, (Cambridge: Harvard University Press, 1940), p. 288. This work is an account of a personnel research program conducted by the Western Electric Company, Hawthorne Works.

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The interviewer should be everything so that  
the worker feel at ease. There are many different  
ways of accomplishing this end. . . . The worker  
is likely to be resentful of any display of author-  
ity, or of any indication of his social standing.  
The interviewer, therefore, should guard  
himself against displaying authority in any of the  
forms. He should not give any orders to the inter-  
viewer, and, of course, he should never violate any  
courtesy given to him. He should also avoid the  
more subtle forms of displaying authority, such as  
controlling the worker, interrupting him,  
taking the role of the teacher, or pressing his  
issue lightly.

The conductors of this research program found it neces-  
sary to obtain their interviewers from persons not in the  
hierarchy of authority in order to achieve the rapport  
needed to reveal the desired data, the feelings of the  
workers. Therefore, the military chain of command, pos-  
sibly more so than the industrial, due to the great  
significance placed on rank and authority, should not be  
relied upon for a free flow of expressions of feelings and  
attitudes. Human productivity as respect rank, one's ap-  
preciation of authority, prevents it.

This being the case, that a responsible administrator  
may not rely upon his immediate subordinates to relay the

V. J. Hochschildberger and W. L. Wilson, Management and  
the Worker (Chicago: Harvard University Press, 1941), p.  
102. This work is an outcome of a personal research program  
conducted by the Western Electric Company, Hawthorne Works.

sentiments of those below, how is he to obtain a picture of what they are thinking? Several possibilities present themselves. Arbitrarily discarding the attitude survey technique as being non grata in contemporary military circles, these possibilities involve the planned interview.

First, to parallel the Hawthorne method, trained interviewers from without the command, having no military authority and identifying no individual, could be employed. This would, in the opinion of the writer, be a hard program to sell individual commanding officers, responsible officers who are by training jealous of their prerogatives and position, and officers without whose support the program, could hardly succeed.

Second, some officers have personalities such that it is easy for them individually and successfully to contact members of their command at all levels in the chain. They are dependent on no one for measures of morale; they are also few in number.

Third, the training of all officers could include study of interviewing techniques and supervised practice to develop the ability to establish rapport that all do not inherently possess. Such a program, if successful, could establish the chain of command as the communication line of feelings upward as well as the line that distributes orders

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downward.

The following conclusions of the Secretary of War's Board on Officer-Enlisted Men's Relationships, headed by General Doolittle, which held hearings in the spring of 1946, represent a considerable departure from traditional military thought but are considered appropriate to this discussion on communication.

The causes of poor relationships between commissioned officers and enlisted personnel are traceable, in general, to two main factors:

- a. Undeniably poor leadership on the part of a small percentage of those in positions of responsibility;
- b. A system that permits and encourages a wide official and social gap between commissioned officers and enlisted personnel.<sup>8</sup>

The gap between senior and subordinate, the distance across which it is necessary to communicate, can be narrowed by better techniques of communication. It is obvious that official rank, hence gap, is necessary in a military organization just as it is in business or elsewhere. And no culture is without its groups, hence gaps. Abuses should be corrected, however, and to this end the Doolittle Board recommended (in part):

That, in addition to the training in technical subjects, each (officer) candidate . . . receive much more comprehensive instruction in command responsibilities, personnel management,

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<sup>8</sup>Quoted in Samuel A. Stouffer, et al, The American Soldier. Vol. II: Combat and Its Aftermath, (Princeton: Princeton University Press, 1949), p. 379.



and human relations.<sup>9</sup>

This third possible method for keeping responsible officers informed on matters of attitude and feelings-- morale--is held to be the most sound. As a military unit or organization, a naval vessel is self-sufficient as far as possible. Therefore it is not tenable to rely on outside experts to investigate and report findings of their interviews. And that too few officers can, without training, establish effective contact and communicate with their subordinates is supported by the Doolittle Board findings.

Training of all officers in human relations is a desirable goal, but until such time as it is accomplished, hit-or-miss techniques will continue to prevail.

While it is not the purpose of this chapter to tell how to interview or to analyze the techniques, the following considerations are held to be pertinent:

In the interview I use a number of simple rules or ideas. I listen. I do not interrupt. I refrain from making moral judgments about the opinions expressed. I do not express my own opinions, beliefs, or sentiments. I avoid argument at all costs. I do this by seeing to it that the speaker's sentiments do not react on my own.<sup>10</sup>

And:

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<sup>9</sup>Ibid., p. 280.

<sup>10</sup>Roethlisberger and Dickson, op. cit., pp. 92-93.





Personal interviewing is not only the task of the personnel specialist but of everyone with supervisory and executive responsibility. Rightly done . . . it forestalls irritations, disarms hostility, makes friends, and releases the will to work.

The person who does the interviewing learns much about human nature . . . . The experience of interviewing thus constitutes a valuable feature for the training of supervisors and prospective supervisors.<sup>11</sup>

Also:

The fact that it usually raises more questions than it answers is not wholly to the discredit of the interview.<sup>12</sup>

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<sup>11</sup>Bingham and Moore, op. cit., p. 160.

<sup>12</sup>Ibid., p. 145.

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monthly, annual reports, and various other  
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Interviewing and Reporting, pp. 115-120.

Interviewing, p. 125.

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## CHAPTER VII

### COUNSELING

Counseling attempts to bring about a constructive change of attitudes on the part of the counselee through individual, face-to-face contacts. This extension of the interview process deals with individuals who are mal-adjusted, perplexed, failing, delinquent, and the like. Its aim is to help these individuals leave their interviews somewhat better adjusted to their problems and facing realities of life more constructively.<sup>1</sup>

The previous chapter pointed out the real need for a program aimed at training administrators in the naval service to develop competency in interviewing. By extending this competency, some could become proficient in the field of counseling. Aboard ship, as elsewhere, effective counseling can contribute to group morale by helping better the adjustment of individuals, hence their behavior. As counseling is not conducted on a group basis, and as the process is a time-consuming one, its application would of

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<sup>1</sup>Carl R. Rogers, Counseling and Psychotherapy, (Boston: Houghton-Mifflin, 1942), Ch. I.

CONFESSION

Confession attempts to bring about a constructive change of attitude on the part of the counselee through individual, face-to-face contact. The intention of the interview process deals with individuals who are mal-adjusted, paralyzed, falling, delinquent, and the like. The aim is to help these individuals leave their interview somewhat better adjusted to their problems and taking realities of life more constructively.<sup>1</sup>

The previous chapter pointed out the need for a program aimed at training administrators in the mental health field to develop competency in interviewing. By extending this competency, new social workers professional in the field of counseling, should help, as counselors, alleviate human suffering and contribute to group welfare by helping better the adjustment of individuals, hence their behavior. As confession is not conducted as a group matter, and as the case is a case-conference case, the application would be

<sup>1</sup>Carl A. Rogers, Counseling and Psychotherapy, (Boston: Houghton-Mifflin, 1942), Ch. 7.

necessity be limited. In this respect, consideration may well be given to treatment of the more influential persons who find themselves out of step with the organization. By helping them to regain a well-adjusted position, the morale of the group may be improved.

Although most of the statements made about . . . counseling apply with equal force to any military organization, whether in training or in combat, there has been very little use of a counseling approach in the vast war program which has been inaugurated in this country. The failure to use such a tool is due in part, no doubt, to the usual cultural lag in translating new discoveries into effective working programs. It may also be caused in part by the tendency of the military mind to think in terms of a mass, rather than an individualized, approach. Yet there are many reasons to suppose that our growing knowledge of psychotherapy could be effectively used in the military program.<sup>2</sup>

Counseling has been used at naval shore establishments such as the Training Centers where recruits are helped to adjust to authority, new social groupings, and an uncertain future. It is used in the training of many military specialties, such as flying, diving, submarine service, and the like. And it is used, finally, in the readjustment of psychological casualties. But during the great majority of the time an individual is in the service, between his entrance and his exit, unless he is given training for extra-hazardous duty or sent to a hospital,

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<sup>2</sup>Ibid., p. 9.

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great majority of the time an individual is in the service,  
between his entrance and his exit, unless he is given  
training for extra-duties duty or sent to a hospital,

he has little if any opportunity for receiving scientific counseling.

In the belief that a counseling program is valuable and worthwhile in the day-to-day life aboard ship, this chapter will summarize the old and the new viewpoints in counseling, the work that has been done in other forms of administration, industrial and government, and the benefits that have resulted.

### 1. The Old Viewpoints in Counseling<sup>3</sup>

Almost everyone who was ever placed in a position where advice was sought will recognize the continuing use of many of the old techniques and approaches presented in this section. They assume that the counselor is in a position of competency such that he is able to judge what the individual seeking help should do. One of the oldest is that of ordering and forbidding; this technique has been laid aside in modern psychotherapy, not because of its lack of humanitarian feeling, but because it has proved ineffective: it does not basically alter human behavior.

A second approach, now in disrepute, is that of exhortation; an individual was worked up to a point where

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<sup>3</sup>Ibid., Ch. II, passim.

has been little if any opportunity for receiving scientific  
 information. In the belief that a commission system is essential  
 and desirable in the day-to-day life of the ship, this  
 chapter will summarize the old and the new viewpoints in  
 commissioning, and note that the new has been found in other forms of  
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1. THE OLD VIEWPOINTS IN COMMISSIONING

Almost everywhere the war was fought in a position  
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 the individual seeking help should do. One of the chief  
 in that of opportunity and regarding this viewpoint has  
 been that there is a great deal of opportunity, not because of  
 the lack of opportunity, but because it has  
 proved impossible to do so. It does not mean that the  
 factor. The new viewpoint, now in vogue, is that of op-  
 portunity in individual was worked up to a point where



he would promise to achieve some worthwhile goal and would thus supposedly bind himself with his good intentions. The most common sequel to this technique is a relapse; no real change is made.

A third approach is the use of suggestion, in the sense of reassurance and encouragement, in the hope that the motivation of the individual will be strengthened. But telling a counselee that he is getting better tends to deny the problem which exists, as well as the feelings of the individual toward his problem.

While these older methods are of historical interest to the trained counselor, they are in current use today by the well-meaning but uninformed person who may attempt to alter behavior or attitudes through the medium of counseling. Also in use are the techniques of giving advice and intellectual interpretation.

The practice of giving advice has two major weaknesses. The individual who has a good deal of independence tends to reject suggestions in order to retain his own integrity. And, on the other hand, the person who has little independence, who leans on others for decisions, is driven deeper into his dependency.

Intellectual interpretation relies on an explanation of the basic reasons for an individual's behavior to him, assuming that such explanation would result in changed at-

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The practice of living advice has two major vari-  
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eager into his dependency.

Individual interpretation relies on an explanation  
of the basic reasons for an individual's behavior to him,  
assuming that such explanation would result in changed be-

titudes and behavior. It overlooks the fact that while the counselor's interpretation in a case may be quite correct, that does not make it any more acceptable to the individual concerned. Such explanation has value only to the extent that it is accepted and assimilated by the counselee; his behavior is not changed very effectively simply by giving him an intellectual picture of its patterning.

## 2. A New Approach to Counseling

A newer psychotherapy has been described by Rogers and includes numerous ramifications, many of which are largely in a state of experiment and many of which are not considered to be appropriate to adaptation to shipboard use by non-medical personnel. Without quite extensive training, beyond that possible to give a non-specialist, many phases of this new therapy are out of the question. The basic characteristics of it, however, are of interest and warrant further study on part of those who counsel. It is granted that shipboard administrators who are placed in positions where counsel is sought should operate on a level commensurate with their training and experience, and they should not assume qualifications not held. A knowledge of the basic concepts of this new approach to counseling, however, cannot but help avoid many misconceptions on the

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 the basic concepts of this new approach is suggested,  
 however, cannot be held until such investigations on the

subject, misconceptions that are currently widespread in the field where "giving advice" is a ready solution to anyone's problems.

The basic hypothesis, upon which Rogers bases his client-centered work, is briefly put as follows:

Effective counseling consists of a definitely structured, permissive relationship which allows the client to gain an understanding of himself to a degree which enables him to take positive steps in the light of his new orientation.<sup>4</sup>

This approach relies heavily on the individual drive toward adjustment. Therapy here is not a matter of doing something to an individual, or of inducing him to do something about himself, as it is a matter of freeing him for normal development and of removing obstacles to this development. This approach places greater stress on the emotional aspects than upon the intellectual aspects of the situation. This recognizes that most maladjustments are not failures in knowing; the thief knows it is wrong and inadvisable to steal, but he frequently continues to do so because of the emotional satisfaction such acts provide. Further, this new approach places greater stress on the immediate situation than on the individual's past; Rogers feels that significant emotional patterns show up as well in present adjustment as in past history. A final

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<sup>4</sup>Ibid., p. 18.

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the field where "clinical evidence" is a very common  
subject's problem.

The basic hypothesis, upon which Rogers bases his  
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also. Rogers' view of the person places greater stress on  
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as well as present adjustment in the past history. A final

characteristic of this new approach is that the interview itself, the relationship with the counselor, is a growth experience in itself; other approaches expect the individual to grow and change and make better decisions after the interview is over.<sup>5</sup>

This counseling relation in which the counselor does not decide, direct, or advise, but rather helps the individual think and decide for himself, requires a total lack of coercion. The adaptability of this method to shipboard use is questioned. For if the counselor should not make the decisions for the counselee, it is equally true that someone must do so if the individual is not able, intellectually and emotionally, to think for himself. Such is the case with many, both in and out of the service; the time required to bring such cases up to par by strictly non-directive methods would appear to be prohibitive.

The Army found that if the civilian worker's problem concerned his job primarily and he needed some facts to clarify his thinking, it was well to let him "sound off" his opinions for two reasons: "First, it lets the supervisor know how the employee feels about the situation, which is very important . . . . Second, it clears the air so that the employee can accept any objective informa-

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<sup>5</sup> Ibid. These main characteristics are abstracted from Ch. II.





tion . . . without the mental resistance caused by unexpressed feelings about the matter."<sup>6</sup>

This may be practicable in civilian practice, but is hardly adaptable to the military--the process of "sounding off" is too prone to lead to a report of insubordination.

Further:

If the counselor possess formal authority, it would tend to weaken the supervisor-employee relationship because it would inevitably take from the supervisor some of his responsibilities in dealing with people. In the last analysis the supervisor is and must be responsible for the handling of his employees.<sup>7</sup>

This, to repeat, does not preclude the value to ship-board counselors of knowledge of the principles of this technique.

Cronbach writes:

The client-centered point of view proposed by Rogers has been a controversial topic, but most counselors have found his suggestions acceptable and desirable at least in part.

Most counselors compromise with the non-directive approach to some degree because of administrative conditions or other reasons. Even where the approach is not purely non-directive, emphasizing the client's responsibility is a helpful technique.

. . . It should not be assumed that prescriptive methods are obsolete. They are widely

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<sup>6</sup>Schuyler Haslett, The Supervisor's Job in Human Relations, (Kansas City Quartermaster Depot: Army Services Forces, 1945), p. 15.

<sup>7</sup>War Department, Employee Relations Officer's Guide, Effective Utilization of Manpower Series Manual No. 12, (December, 1943), Section IV, p. 3.

... without the mental resistance caused by un-  
 expressed feelings about the matter.<sup>6</sup>  
 This way to procedure is similar to that in  
 family therapy in the therapy--the process of "working  
 out" as the name is used in a report of Friedlander.

It is assumed however that sensitivity is  
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<sup>6</sup>Journal of Guidance, The University of Chicago, 1951, 20, 1-10.  
 (Trans. 1951, 20, 1-10.)

Effective Utilization of Personnel Services Manual No. 12,  
 (December, 1952), Section IV, p. 2.

used under many circumstances. Some counselors prefer them.

Prescriptive counselors usually organize their work to obtain as wide a variety of information about the client as possible, making a wise interpretation, and bring the client to base his action on this information. While they respect the right of the client to choose between alternatives of merit and do not force even a wise course of action upon him, their emphasis is on keeping the client from making errors.<sup>8</sup>

These comments have much to recommend them to naval personnel in counseling positions.

An outgrowth of the research done at the Hawthorne Works, counseling is an important phase of human relations. Its significance was highlighted by World War II; in 1945 there were estimated to be about 350 counseling positions in the Federal departmental service, comprising about 200,000 employees.<sup>9</sup> The techniques are not firmed, and much research is needed to perfect them. Roethlisberger and Dickson recognized that personnel counseling is not a cure-all and that it "is still an experiment and is not regarded as a panacea for all employee relations problems."<sup>10</sup>

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<sup>8</sup>Lee J. Cronbach, Essentials of Psychological Testing, (New York: Harper & Brothers, 1949), ch. 16, "The Use of Test Results in Counseling".

<sup>9</sup>Reported in W.E. Mosher, J.D. Kingsley, and O.J. Stahl, Public Personnel Administration, (3rd ed.; New York: Harper & Brothers, 1950), p. 306.

<sup>10</sup>F.J. Roethlisberger and W.J. Dickson, Management and the Worker, (Cambridge: Harvard University Press, 1946), p. 604.

used under any circumstances. These courts  
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<sup>10</sup> See J. C. Campbell, Journal of Vocational Behavior, 1953, 2, 1-12  
 (New York: Harper & Brothers, 1953), p. 10. The title of  
 this article is "Counseling".

<sup>11</sup> Reported in W. H. Murray, Jr., Journal of Vocational Behavior, 1953, 2, 1-12  
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<sup>12</sup> W. H. Murray, Jr., Journal of Vocational Behavior, 1953, 2, 1-12  
 the author, (Committee on Human Resources, 1953), p. 10.

The work of Rogers and others in the field of counseling cannot, obviously, be reduced, here or elsewhere, to a handy series of rules or maxims. Concentrated work, study, and practice are needed to comprehend much of what is read. In the light of the needs of shipboard administrators in the areas of interviewing and counseling, much could be done to present the work of leaders in these fields to the service in a form that could be put to practical use.

The work of Rogers and others in the field of economic control, especially, as concerns, have no doubt, to a large extent of value or merit. Organized work, study, and practice are needed to accomplish what is to be done. In the light of the needs of organized administration in the areas of international and commercial work, it would be hard to present the work of Rogers in these fields in the service in a form that could be put to practical use.

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## CHAPTER VIII

### EVALUATION OF PERFORMANCE

The administrative action of evaluating performance of subordinates is common to industrial, military, governmental, practically all organizations of any appreciable size. Such determination of the value of an individual, having to do with how a job is done, as opposed to the job rating which has to do with what a job consists of, can be effective in promoting a healthy state of morale, as well as accomplishing other objectives. These objectives of personnel rating must be adapted to the ends desired of the evaluation program; they will be discussed in a section of this chapter. Further, techniques in use and in the research stage of development, both military and non-military, will be surveyed and contrasted. Finally, a section will be devoted to aspects significant to the evaluation of naval personnel aboard ship.

Problems of personnel rating are of long standing and great complexity. Much literature has accumulated on the subject, and considerable research is being conducted to develop better techniques. This chapter will be especially

CHAPTER VIII

EVALUATION OF PERFORMANCE

The administrative system of evaluating performance of supervisors is common to industrial, military, governmental, and especially all organizations of any size. It is also a part of the evaluation of the value of an individual, having to do with how a job is done, as opposed to the job rating which has to do with what a job consists of, and to effective in promoting a healthy state of morale, as well as accomplishing their objectives. These objectives of personal rating must be related to the goals desired of the evaluation program; they will be discussed in a section of this chapter. Further, techniques in use and in the research stage of development, both military and non-military, will be reviewed and contrasted. Finally, a section will be devoted to specific significant to the evaluation of naval personnel aboard ships. Problems of personal rating are of increasing and great complexity. This chapter has been devoted to the subject, and scientific research is being conducted to develop better techniques. This chapter will be especially



concerned with evaluation as it affects morale.

### 1. Objectives of Personnel Evaluation

A program of evaluating individual performance, like other personnel tools, is not an end in itself, is not to be expected to function at a high level if not integrated with other tools, and must be designed and administered with the results that are desired in mind. The main reason for its being is to increase the economy and effectiveness with which an organization performs its functions. The specific objectives which may be accomplished by the evaluation of individual performance may be considered under four headings.<sup>1</sup>

First, to develop standards of satisfactory performance--delineating the quantity and quality of work that is adequate for the interests of the organization.

Second, to improve employee performance by identifying and measuring strong and weak points of individual performance, recording objectively these evaluations, giving encouragement to employees in their work, and giving constructive counsel concerning individual shortcomings.

Third, to refine and validate personnel techniques--to check qualification requirements, placement, examinations,

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<sup>1</sup>These headings are modifications of those set forth by C.G. Stahl, "Overhauling Federal Efficiency Ratings," Personnel Administration, September, 1943, p. 12.



training, adjustment and progress.

Fourth, to objectify and justify the application of personnel policies--in selection for advancement, transfer, wage or salary increase, and other recognition of superior or inferior service.

Some of these basic objectives, and their modifications, are stressed more than others, which may or may not be completely ignored, by varying organizations depending on the ends to be achieved. For example, in industry a most important policy question in promotion is the relative significance of seniority and ability. Demands of unions for promotion by strict seniority can be met by management only by insisting that ability be considered the most important factor and then by demonstrating the fairness and objectivity of this policy by selecting for promotion those employees, who, on the basis of performance records and employee rating, are clearly superior to their fellow employees.<sup>2</sup> Here, the performance evaluation program would be developed with the main objective being the justification of a company promotion policy; a proven one that recognizes that ability and not seniority should determine promotion. Another objective stressed in this example could well be the periodic discussion with an individual of his ratings; if

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<sup>2</sup>Paul Pigors and C.A. Myers, Personnel Administration, (New York: McGraw-Hill, 1947), p. 175.

... adjustment and progress.

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 personal policies--in relation to advancement, promotion,  
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 of superior service.

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 stead objective evidence in this regard would be the  
 possible discussion with an individual of his progress in

Revised Report of C.A. Myers, Personnel Administration,  
 (New York: McGraw-Hill, 1947), p. 110.

he is not selected for advancement, he will know why, and his will to work stands less chance of being destroyed by his thinking he was passed over in favor of another employee with more "pull". On the other hand, the objective of developing standards of satisfactory performance may be neglected entirely by industry in the face of a tight labor market.

In the Federal Civil Service, however, the emphasis is on the first two major objectives outlined above. The Hoover Commission has even urged that "ability and service records" should be used only for supervisor-employee conference, with a view to developing employee performance, and not to govern salary increases, layoffs, or dismissals.<sup>3</sup>

In the Navy today, it is the opinion of the writer (1) that the greatest emphasis is on performance evaluation that tends to objectify selection for further education or training, advancement, and transfer to billets requiring specific abilities, and (2) that the objective of improving individual performance is not sufficiently stressed. This will be discussed in following pages.

Thus the objectives of a program of evaluation may be altered and tailored to suit the needs of an organization,

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<sup>3</sup>Commission on Organization of the Executive Branch of The Government, Personnel Management: A Report to the Congress, (Washington, 1949), p. 33.

to be not selected for advancement, he will know why, and  
 his will be, with some few exceptions, being determined by  
 his standing in the past or in view of his present  
 grade with the "staff", on the other hand, the objective  
 of developing standards of satisfactory performance may be  
 regarded entirely as lacking in the case of a staff  
 member.

In the Federal Civil Service, however, the emphasis is  
 on the fact that the major objective outlined above, the  
 Hoover Commission has even urged that "staff and service  
 records" should be used only for supervisory purposes.  
 In view of the fact that the Federal Government,  
 and not its various departments, agencies, or divisions,  
 is the body, it is the opinion of the writer  
 (1) that the present objective is an unworkable evaluation  
 that tends to objectify selection for Federal employment or  
 Federal advancement, and creates a false evaluation  
 against officials, and (2) that the objective of developing  
 individual performance is not sufficiently essential. This  
 will be discussed in following pages.

Thus the objectives of a program of evaluation may be  
 affected and limited in only two ways of an organization,

<sup>2</sup>Commission on Organization of the Executive Branch of  
 the Government, Report and Recommendations, A Report to the  
 Congress, Washington, 1955, p. 55.

and the results desired must be determined prior to setting up a program if it is to be of value.

## 2. Techniques of Evaluating Performance

Any process of estimation involves the subjectiveness of the personality of the estimator, and the resulting evaluation becomes even less objective when another personality, that of the individual being judged, enters the picture. Thus, in order to discount the effect of this second personality, production records may be made the basis of performance evaluation in the case of work of a highly repetitive or routine nature. This method is often found in industry, and it is readily adapted to determination of wages, as in piecework payment systems. Even here it is only one basis of judging an employee, as personality factors are important in even routine jobs. In selection for promotion, for example, the best worker is not necessarily the best foreman material. Nevertheless, production is one basis of evaluation of individual performance, and one that tends toward greater objectivity. Its use is not seen as much in the Federal Civil Service as in industry. This is in part due to the failure to emphasize production in government service and in part to the fact that most governmental units deal in services.<sup>4</sup>

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<sup>4</sup>W.E. Mosher, J.D. Kingsley, and O.G. Stahl, Public

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<sup>4</sup>W. L. Bush, J. C. Kasper, and G. C. Smith, Public



If production records are available or can be developed, their use may simplify the evaluation problem in any type of organization.

The guiding principle should be that objective measurements are superior in every way to judgments, and, therefore, that wherever the work lends itself to unit measurements it should be reorganized with that end in view.<sup>5</sup>

One method of measurement that is similar to the use of production records is the use of periodic tests. For example, a typing test given a stenographer could reflect proficiency. Production records, covering a longer period of time, would, however, give a more accurate evaluation of the employee.

Production records do not lend themselves as a basis of evaluating shipboard personnel. No job is sufficiently routine or repetitive, and the dual nature of naval service--(1) duties of specialty, and (2) general military duties that every individual in the Navy is required to perform--preclude this type of performance measurement. Therefore the problem resolves itself into one of devising a valid method of subjective estimation.

A wide variety of schemes have been developed and ex-

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Personnel Administration, (3rd ed.; New York: Harper and Brothers, 1950), p. 373.

<sup>5</sup>Loc. cit.



perimented with.

Since 1946, authority has been granted individual Federal agencies to make up special lists of elements for each class of jobs.<sup>6</sup> By making objective the elements incorporated in these rating forms, much can be done to make the reports meaningful. The abstractness of such things as leadership or courage or initiative makes judgments difficult and, further, makes it hard for judges to agree. Rating on ability to perform an important phase of a job may be more readily understandable than rating on an ambiguous trait.

It is significant . . . that the Hoover Commission adds its voice to many others who have decried continuation of the present system. We have referred to current proposals to provide a simple report of "outstanding," "satisfactory," or "unsatisfactory" to meet the requirements of staff reductions and periodic pay increases within grade. Such a plan will be sterile, of course, unless some method of performance-item analysis, as now permitted under the Federal system, but without summary adjective ratings, can be used as the basis for supervisor-employee discussion and understanding--which is the primary objective and use of performance evaluation urged by the Hoover Commission.<sup>7</sup>

Making the report meaningful, however, does not constitute an end in itself; it should be made meaningful to the individual being evaluated as well as to the super-

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<sup>6</sup>Ibid., p. 333.

<sup>7</sup>Ibid., p. 334.



visor and those above him. Changing the elements on a report of efficiency is but a step toward more progressive practices. As the Task Force Report states:

It has been observed that two important uses of efficiency ratings are not facilitated by the Federal procedure:

1. Employee development.--A very effective use of the merit rating in private employment is the periodic review between supervisor and subordinate of the weaknesses which the employee should seek to overcome. Such review is usually a highly personal, confidential relationship between the supervisor and the employee. In the Federal system higher reviews and appeals, together with penalty actions, militate against this use.

2. Employee growth potential.--The Federal efficiency rating is an evaluation of performance during a past period. It does not attempt to evaluate employee growth or to project the potential growth of the employee toward higher positions in the organization.<sup>8</sup>

Plans that would act to modernize the Federal system include legislation recommended to the Congress by the U.S. Civil Service Commission

pertaining to ratings which would: (1) abolish the uniform system; (2) permit each department to establish its own plan suited to its needs; (3) permit the dropping of "summary" ratings; (4) disengage ratings from personnel actions, such as salary increases, staff reductions, and the like; and (5) eliminate the cumbersome appeal machinery now prescribed for the rating system, substituting opportunity for "one impartial review" within the departments. Favorable action on these far-sighted recommendations will meet practically all the adverse criticism that has been leveled in recent years at the Federal system.

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<sup>8</sup>Op. cit., p. 62.

<sup>9</sup>Mosher, Kingsley, and Stahl, op. cit., pp. 334-5.



Additional techniques developed for the evaluation of performance include the older man-to-man rating scale, the graphic and linear scales, lists in which elements or statements pertinent to the individual being rated are checked and weighted, and other well-known schemes and their variations that will not be described herein. One more recent development, one that is the subject of considerable current study and trial, is the forced-choice format that is applied to rating scales as well as to self-report tests.

The forced-choice technique applied to rating scales requires the rater to judge between two equally favorable or unfavorable adjectives or statements which may or may not lie on a continuum. He is required to choose between conditions which may not really be alternatives, both of which may conceivably be inapplicable to his own experience.<sup>10</sup>

No matter what halo or generosity effects enter the judge's thinking, such a question forces him to consider the subject in regard to the specific trait in question. After deciding whether Jones is more calm than cautious, more friendly than intelligent, more creative than painstaking, and so on, the judge has provided the best picture his knowledge permits of the characteristics of the subject.<sup>11</sup>

Even a psychologically sophisticated rater cannot

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<sup>10</sup>D. B. Stuit, ed., Personnel Research and Test Development in the Bureau of Naval Personnel, (Princeton: Princeton University Press, 1947), p. 130.

<sup>11</sup>Lee J. Cronbach, Essentials of Psychological Testing, (New York: Harper & Brothers, 1949), p. 400.





often guess the most favorable answer, which is obtained by standardizing the item on well- and poor-performing subjects, and which must be kept secret by a scoring center. This technique, obviously, does not lend itself to the evaluation program where it is desired that the rates know how he stands and be able to discuss his ability and progress with his superior.

### 3. Shipboard Evaluation of Personnel Performance

One distinguishing feature of administration of naval personnel is the distance between the operating units and the controlling activity centers. More specifically, if a factory manager or an agency head desires to obtain information about an individual, it is a relatively simple matter, in most cases, of contacting the man, his superiors, and/or his associates. But the Bureau of Naval Personnel, controlling vast numbers of servicemen all over the globe, must rely on written records and reports; if it is desired to select an officer for a billet that requires, say, experience in submarines and an ability to speak Turkish, such information is readily obtained from punched-card records. Such qualities, however, as exceptional leadership or tendencies to carelessness, have not been reduced to meaningful terms that may be entered on machine records. Such subjective qualities are obtained, in practice, by

often found in the literature, which is often  
 in evaluating the use of well- and poor-performing  
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 the evaluation program which is desired in the case  
 how far it should be able to measure the ability and  
 progress with the student.

4. Historical Evaluation of Personal Performance

The distinguishing feature of measurement of mental  
 processes in the distance between the operating mind and  
 the measuring activity centers. More specifically, it is  
 largely a matter of an agency that desires to obtain infor-  
 mation about an individual, it is a relatively simple mat-  
 ter, in any case, of concerning the way, the instrument,  
 and/or the individual. On the basis of these resources,  
 measuring the amount of knowledge all over the globe,  
 what may be called records and reports it is desired  
 to refer on either for a similar case (perhaps not, but  
 previous in character and in nature to those of the  
 such information is readily obtained from published and  
 records. These qualities, however, as compared to the  
 kind of methods to be employed, have not been reported  
 to scientific form that may be applied on various records,  
 such as the various qualities are obtained. In practice, by

referring to the fitness report files of the individuals under consideration. Thus, where the record may not be confirmed by personal contact with an individual or one who knows him, the keeping of adequate records becomes of major importance.

The current Navy Officers Fitness Report requires the rater to consider each officer separately and to judge him as he is compared with other officers of the same rank and similar duties, keeping in mind the normal distribution. On each of 18 elements the individual officer is placed in the top 10%, the next 20%, the middle 40%, the next 20%, or the bottom 10%. The elements include five concerning sea or advance base duty, three concerning initiative and responsibility, three on understanding and skill, five on leadership, and three on conduct and habits of work. There are additional items dealing with the reporting officer's feeling about having the subject of the report under his command and about the officer's fitness for promotion. This report is completed by the rater without the aid of tests that could help him appraise people.

While the current form of the Navy Fitness Report wisely attempts to avoid misjudgment by reminding the rater of the real population rather than the ideal population and suggesting that he keep in mind the principle of normal distribution, it is common knowledge that analysis of Report

referring to the fitness report lines of the individuals  
 under consideration. Thus, since the report may not be  
 confined by personal contact with an individual or the  
 fitness line, the concept of adequate records includes of  
 major importance.

The current day fitness fitness report requires the  
 writer to complete each fitness report and to justify the  
 as he is prepared with other evidence of the same rank and  
 status duties, working in and the normal distribution.  
 On each of its fitness line individual fitness is placed in  
 the top line, the next line, the middle line, the next line,  
 or the bottom line. The elements include the following:  
 one in advance line duty, three concerning collective and  
 responsibility, three on maintaining and skill, two on  
 leadership, and three on working and habits of work. There  
 are additional lines dealing with the reporting officer's  
 feeling about having the subject of the report under his  
 command and about the officer's fitness for promotion. This  
 report is completed by the writer without the aid of tests  
 that could help the reporting officer.

This the current form of the new fitness report  
 which attempts to avoid misjudgment by removing the writer  
 of the report from the line of the best preparation and  
 suggestion that he has in mind the principle of sound  
 distribution, it is to be noted that the fitness report

files reveal a marked tendency toward a skewed distribution in the direction of high ability and performance. The desirability of this skewed distribution is debatable.

The problem of designing adequate report forms is one that receives continuing attention. One type tried by the Army involved the forced-choice format in an attempt to get greater objectivity in personality rating. While this technique has been dropped, at least for the present, it does represent an effort to increase the validity of officer fitness reports. While the forced-choice rating question or statement may be refined to the point that it actually measures what it is intended to measure, it has an inherent defect as far as this study of morale is concerned: it offers no opportunity for the rater to know how he is rating a subordinate. Aside from the fact that most raters dislike this feature, they are unable to confer with their subordinates regarding the qualities which the form measures.

One possible solution to this problem is to have two separate reports, one to be used for official purposes and another to be used for private evaluation of the rater with the ratee. Such a solution is held to be untenable as (1) the two reports could easily be at variance with each other, especially if the forced-choice format were used for official purposes, hence (2) the evaluation form used for personal conference would lose its significance or importance

This paper presents a method for the analysis of the  
 in the literature of this subject and the  
 ability of this method to detect the  
 The purpose of this paper is to show that  
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 that evidence will be the significance of the

in the eyes both of the superior and the subordinate.

The findings of the Hoover Commission, referred to in the previous section, as well as the earlier discussion on essential requirements of good morale--among them "knowing where one stands"--substantiate the statement that any proposed system of personnel evaluation should not sacrifice the benefits to the subordinate of review of the report with the superior to the benefits of greater objectivity in reporting to a central agency. This statement implies that such review with the person being rated be made, and be made effectively. This will be discussed in the concluding chapter of this thesis.

No ready solution to the problem can be made; the Navy Department is conducting extensive research programs to achieve an acceptable system of personnel evaluation. The needs of the naval service are different from those of other organizations, although much can be learned by study of methods used elsewhere. Of immediate importance to the shipboard rater is the objectivity and fairness with which existing forms are completed. It is further held that execution of rating forms can be an effective factor affecting morale: by wise interpretation of the assigned marks, the rater may direct a subordinate's performance into lines of self-improvement.

in the case of the question and the subject.

The results of the above discussion, referred to in the previous section, will be the subject of discussion in the following sections of your course--your "reading" where you will be asked to read the statement and to give your own system of personal evaluation should not be confined to the points in the description of review of the report.

With the exception of the section on "reading" in reporting is a correct report. This statement implies that such review with the present being held to mind, and be made accordingly. This will be discussed in the next section of this course.

It is very common to see people who do not have the Department in conducting extensive research programs to achieve an acceptable type of personal evaluation. The needs of the study are not different from those of other organizations, although they can be learned by study of various cases. It is important to the individual worker in the company and likewise with other existing laws and regulations. It is further held that the selection of testing forms can be an effective factor in the testing process of the organization of the design.

Thus, the report may have a significant contribution to the field of self-improvement.



## CHAPTER IX

### CONCLUSIONS

The Federal Government, as do most public and private organizations, still suffers from too many top administrators who know some subject-matter field or have a flair for public relations but have little notion of their personnel responsibilities (to say nothing of having little skill in the field) as heads of large aggregations of human personalities that are supposed to be working enthusiastically together in a common purpose.<sup>1</sup>

It is held that this "flair for public relations" occurs too rarely to neglect formal training in personnel practices, and that hit-or-miss trial-and-error methods of handling people are unsatisfactory. There is ample evidence that the large sums spent in personnel research, staff training, and personnel methods and services, by both private and public organizations, have been invested wisely.

Many benefits, measured in the ultimate increased economy and effectiveness with which an enterprise is conducted, could well be applied to naval activity. In time of mobilization, when manpower is a critical factor, such economy

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<sup>1</sup>W.E. Mosher, J.D. Kingsley, and O.G. Stahl, Public Personnel Administration, (3rd ed., New York: Harper & Brothers, 1950), p. 40.

CHAPTER IX

CONCLUSIONS

The Federal Government, as do most public and private organizations, still suffers from too many top administrators who know some subject-matter field or have a flair for public relations but have little or no understanding of their personal responsibilities (to say nothing of having little or no field) as heads of large expressions of human organizations that are supposed to be working organizationally together in a common purpose.

It is held that this "flair for public relations" occurs too rarely to neglect formal training in personnel practices, and that this or other trial-and-error methods of handling people are unsatisfactory. There is ample evidence that the large sums spent in personnel research, staff training, and personnel methods and services, by both private and public organizations, have been invested wisely. Many benefits, measured in the almost increased economy and effectiveness which an enterprise is contacted, could well be applied to naval activity. In time of mobilization, when manpower is a critical factor, such economy

J. W. Koster, U.S. Navy, and C. G. Smith, Public Personnel Administration, (3rd ed., New York: Harper & Brothers, 1930), p. 40.

becomes a necessity. Therefore, the general, overall conclusion reached in this thesis is that the benefits derived from the study of scientific personnel management should be extended in the naval service by stressing training in personnel practices as well as in technical subjects at all levels of command.<sup>2</sup>

More specifically, it is concluded that the following major areas offer great opportunity for the responsible shipboard administrator to take positive and constructive steps toward increasing the morale of his organization. It is realized that at present the average serviceman is not qualified to operate effectively in all these areas. These conclusions may be thought of, therefore, as representing suggested points of attack in an effort to reduce waste of human effort by focussing attention and training on them and by recognizing them as significant factors affecting morale aboard ship.

### 1. Training in Morale Essentials

Since World War II, formal courses in naval leadership, including a background in psychology, have been introduced at officer training activities. Unfortunately, however, the

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<sup>2</sup>It is realized that this broad conclusion involves many considerations not within the control of the shipboard administrator and outside the problem as stated in Chapter I.

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I. Training in Naval Leadership

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majority of officers holding the rank of lieutenant or above have never been exposed to any scientific study of personnel management. These officers, generally, are those that have seen war-time service and are in more responsible positions exercising control over larger numbers of men.

That there is a great need for training of responsible superiors in personnel duties has been repeatedly pointed out by civilian and military students of the problem. That many military administrators are ignorant of basic psychological requirements that make possible a high morale is demonstrated by the conclusions of the Doolittle Board, the Bureau of Naval Personnel separate studies, and the findings reported in The American Soldier series, among other research projects. Contrasting military with civilian administration of personnel tends to indicate the former is lagging the latter as regards the education of supervisors in psychological foundations.

Until such time as formal training in personnel management is extended to cover larger numbers of other than midshipmen and junior officers, the naval officer afloat could do much to improve the functioning of his organization. By conducting classes stressing not a study of maxims, proverbs, and how certain individuals achieved a measure of success in dealing with specific instances involving the handling of men, but by stressing psychology as applied to

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 It is felt that there is a great need for training of responsible  
 officers in personnel matters and that this training should be  
 not only civilian but military in nature. The problem is that  
 very military administrators are ignorant of basic psycho-  
 logical principles that make possible a high morale in  
 personnel. The cooperation of the Civilian Corps, the  
 Bureau of Naval Personnel, separate studies, and the findings  
 reported in The Army and Navy Soldier series, among other research  
 projects, concerning military and civilian administration  
 of personnel should be studied to indicate the factors in training  
 factor as regards the education of supervisors in personnel  
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 success in dealing with specific business involving the  
 handling of men, but by stressing psychology as applied to

the military much could be done to describe human behavior and strike close to the reasons behind why people do what they do. By practice and example an officer may make the morale requirements discussed in Chapter IV meaningful to his subordinates in the chain of command; "knowledge of objectives" is a nice-sounding term that looks good on paper but, like the other factors affecting morale, is of little value unless placed into actual use. When one can actually see that there is something in such terms, that they are not so much academic day-dreaming, then he is more ready to accept them. The skilled administrator can first demonstrate his knowledge of personnel management in accordance with the best psychological principles, and next, having developed an interested acceptance of these practices, conduct more or less formal training of his subordinates in these areas.

An expanding and continuing program of this type, guided and aided by the Bureau of Naval Personnel, could spread knowledge of psychological fundamentals throughout the fleet far faster than a program aimed at institutional training of individuals ashore between changes in duty stations.

The outstanding contribution to the training of industrial supervisors during World War II by the War Manpower Commission is of interest in this connection. Through





four ten-hour programs, covering four subject-matter areas considered essential to all supervisors, a few qualified instructors held classes; the trainees became instructors to other groups, and so on until 1,750,650 individual supervisors had been similarly instructed.<sup>3</sup>

A program planned along comparable lines could be conducted aboard ship to the end that far more servicemen would have the benefit of a background of psychological morale requirements in their administration of personnel.

## 2. Shipboard Use of Attitude Surveys

There are many areas where use of attitude surveys is prohibited to the military administrator. Matters of operations and the like cannot be decided by rank and file opinion, obviously; tactical decisions (and the responsibility therefor) are assigned designated commanders trained in their area. However it is felt that there are places for the use of the attitude survey even though this technique has not been fully developed or perfected.

The first area in which it is concluded that the use of an opinion poll is justified is in the determination of matters and policies pertaining to the welfare and re-

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<sup>3</sup>The Training within Industry Report, (Washington: War Manpower Commission, 1945). This report contains a description of the development, operation, and results of this program. The methods which it refined and developed have much of permanent value to commend them.

four hundred programs, covering four subject-matter areas contained assigned to all supervisors, a few qualified instructors held classes; the business pattern instructors to other groups, and no on staff 1,750,000 individuals supervisors had been entirely instructed.

A program planned along comparative lines could be conducted along this line to the end that the same results would have the benefit of a background of psychological needs requirements in their administration of personnel.

2. Improved Use of Attitude Surveys

There are many areas where use of attitude surveys is prohibited to the military administrator. Matters of organization and the like cannot be decided by rank and file opinion, especially tactical decisions (and the responsibility operator) are assigned designated command personnel in their areas. However it is felt that there are places for the use of the attitude survey even though this type of survey has not been fully developed or perfected.

The first area in which it is contended that the use of an opinion poll is justified is in the determination of matters and policies pertaining to the welfare and re-

The Training and Industry Report, Washington War Relocation Commission, 1943. This report contains a description of the development, operation, and results of this program. The methods which it refined and developed have many of permanent value to command lines.

creation of the crew. Such use of the survey is above possible reproach and will not be developed in this thesis. As welfare programs are designed primarily for morale effects, it is obvious that active participation in their activities will be enhanced by giving those affected a voice in their inception.

A second area, and one where the shipboard administrator may find his actions open to question, is the use of the attitude survey to determine matters of internal policy. In this connection, it can only be concluded that each situation must be considered on its own merit. If the responsible senior is well-read in the techniques he proposes to employ, and if he thinks a survey will provide the information he seeks, he may reasonably give it a try without fear of loss of "prestige" or lessening his prerogatives as the one responsible for the decision.

The area of greatest importance to this thesis is the use of the attitude survey to measure morale, not on the level of high command in Washington but on the spot, aboard ship. This has not been done to any extent, possibly due to lack of refinement of techniques as well as to other reasons mentioned previously. An interesting aspect of this problem is the research being conducted on the so-called "judgment tests". While ostensibly testing the judgment of petty officers, they actually are, by design, measuring

extension of the survey. Such use of the survey is above  
 possible response and will not be developed in this thesis.  
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 reasons mentioned previously. An interesting aspect of  
 this problem is the research being conducted on the so-called  
 "judgment tests". This obviously testing the judgment of  
 petty officers, they usually are, by doctor, measuring

morale.<sup>4</sup> Such a test, when refined, could be easily adapted to use aboard ship. While not especially straightforward, it appears to have merit.

The conclusion regarding the use of the attitude survey to measure morale aboard ship is simply this: The technique has been found of great value elsewhere, and the well-read administrator should not permit general service prejudice to prevent his giving it a chance to prove its possibilities.

### 3. Training in Interviewing

As discussed in Chapters VI and VII, the interview is a technique for communicating. By observing proven principles (which were not presented due to their being beyond the scope of this thesis), it was seen that communication can be greatly facilitated. In light of the need for better superior-subordinate relations mentioned several times herein, the obvious conclusion can be made that better rapport, communication of facts, ideas, or attitudes, can result from training of the administrator in the accepted methods of interviewing. Such training could well be done in a manner similar to (and possibly as a part of)

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<sup>4</sup>This research is being conducted by the Naval Air Technical Training Command; the writer's information was obtained from the staff research psychologist, Dr. Mayo, in February, 1951.

... such a test, when defined, could be easily adapted to the above type. While not especially straightforward, it appears to have merit. The conclusion regarding the use of the attitude survey to measure morale should also be clearly stated. The technique has been found of great value elsewhere, and the well-known administrator should not permit general service prejudice to prevent his giving it a chance to prove its possibilities.

3. Training in Interviewing

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<sup>4</sup>This research is being conducted by the Naval Air Technical Training Command; the writer's assistance was obtained from the staff research psychologist, Dr. Hugo, in February, 1951.

the training in psychological principles suggested in the initial section of this chapter.

#### 4. Counseling aboard Ship

Unlike the training of large numbers of shipboard administrators in the fundamentals of military psychology and the techniques of interviewing, it cannot be concluded that counseling could be taught on an extensive scale.<sup>5</sup> Certainly the complicated non-directive methods could not be mastered (or practiced) by one who could not devote years to the subject. These statements do not preclude, however, study on the part of the interested administrator having a genuine desire to be of help to those asking or needing it. Unless a person had a real interest in the field of counseling, an interest strong enough to motivate him to self-study in the literature, it is doubtful whether he could be convinced in the time available aboard ship that such out-moded techniques as exhortation and giving advice are ineffective. The problem becomes one, in the opinion of the writer, of exposing shipboard administrators to the field of counseling and of attempting to develop interest in the work in individuals appearing to be suited for it. In this

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<sup>5</sup>In planning this undertaking, the writer originally thought that a positive conclusion regarding counseling in this respect could be reached.

The training in psychological techniques suggested in the  
attached section of this report.

4. Concerning board ship

While the training of large numbers of shipboard ad-  
ministrators in the fundamentals of military psychology and  
the techniques of interviewing, it cannot be considered that  
boarding could be made an effective tool. The  
training the complicated non-discriminative nature could not be  
mastered (or practiced) by one who could not devote years  
to the subject. These statements do not preclude, however,  
study on the part of the interested administrator having a  
positive desire to do of his or her own volition.  
Unless a person has a real interest in the field of con-  
duct, an interest strong enough to motivate him to self-  
study in the literature, it is doubtful whether he could be  
motivated in the case of the available board ship and  
board techniques as suggested and trying advice and in-  
struction. The general opinion is, in the opinion of the  
writer, of exposing interested administrators to the field  
of counseling and of attempting to develop interest in the  
work in individuals appearing to be suited for it. In this

It is planned this undertaking, the writer originally  
thought that a positive conclusion regarding counseling in  
this respect could be reached.



respect, classes conducted by trained medical service personnel could be arranged.

The study of counseling does not appeal to many as does the study of interviewing; it does not promise the rewards of personal gains. For this reason, study in the field will probably remain for the most part on an individual basis aboard ship.

It was shown in Chapter VII that display of authority is a major fault in the counseling situation. There remain many types of personal problems, however, which would require no such display on the part of a serviceman-counselor. Much help could be given aboard ship by individuals willing to devote the time needed to master a significant ability.

#### 5. Personnel Evaluation

The problem of balancing the need for objective personal performance records with the need for performance forms that may be the basis of an interview with the person being rated was mentioned in the preceding chapter.

While the former need is unquestionably of great importance, for the purposes of this thesis the latter need is considered to have more immediate affect on the morale of shipboard personnel.

The significance of personal evaluation is great; this was discussed in several contexts--recognition and

... classes conducted by trained medical service per-  
sonnel could be arranged.

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to devote the time needed to master a significant ability.

5. Personal Evaluation

The practice of interviewing the need for objective per-  
sonal performance records with no need for performance  
forms that may be the basis of an interview with the person  
being rated was mentioned in the preceding chapter.  
While the former need is undoubtedly of great im-  
portance, for the purposes of this thesis the latter need  
is considered to have even immediate effect on the morale  
of all-around personnel.

The significance of personal evaluation is great;  
this was discussed in several chapters--especially the

discipline, among others. Without repeating these tenets, it is justifiable to state that going over a formal performance report with a superior is of great benefit to the one being rated. It further tends to keep the rater observant for the qualities or abilities that he knows will be rated.

That this review is infrequently conducted is well known to service personnel. Often a reluctance to discuss ratings is noted; a subordinate is shown his report, asked if he has any questions (he seldom has), and the episode is over. While the officer Fitness Report Form has provision for indicating if the ratee has seen the report or not, he is not required to be shown the content of the report unless it is unfavorable or unsatisfactory. The enlisted Quarterly Marks Card has no similar provision.

If objectivity in a rating form, such as could well be obtained by the use of the forced-choice format, is to be sacrificed to permit use of a form that may be made understandable to the person being rated, then it is reasonably concluded that steps should be taken to insure the report is actually reviewed in a meaningful manner by the rater in a private session with the ratee.

discipline, among others, without neglecting these points, it is justifiable to state that going over a formal procedure report with a superior is of great benefit to the one being rated. It should be kept in mind that the observation for the position or position that is being rated will be rated.

That this review is independently conducted is well known to service personnel. When a subordinate is assigned a rating is noted; a subordinate is shown his report, and it is better any questions (no action has), and the episode is over. While the officer's rating report form has been given for indicating if the report has been the report or not, he is not required to do so when the content of the report unless it is unfavorable or essential. The original quarterly report does not have a similar provision.

If objectivity is a rating form, then as could well be observed by the use of the standardized form, it is we restricted to levels one of a four that may be made relationships of the person being rated. There is a possibility associated that steps should be taken to insure the report is actually reviewed in a meaningful manner by the rating in a private session with the rater. The rater

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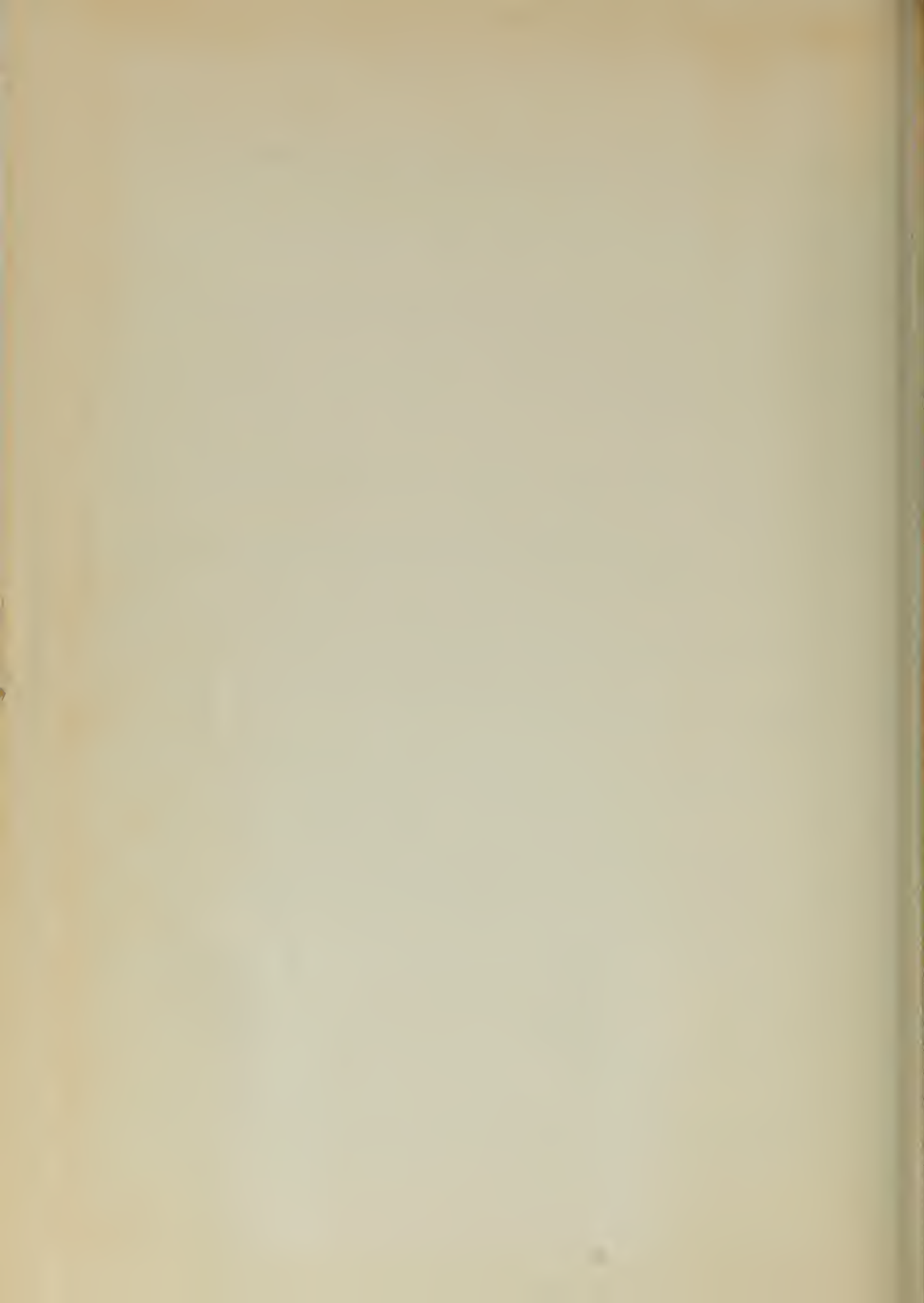
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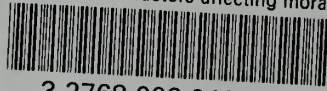
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