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"BILLY BUDD," "THE CAINE MUTINY," AND FIEDLER'S
"CONTINGENCY MODEL": AN INFERENTIAL ANALYSIS OF
LEADERSHIP

The University of North Carolina at Greensboro

ED.D. 1980

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BILLY BUDD, THE CAINE MUTINY, AND FIEDLER'S CONTINGENCY

MODEL: AN INFERENTIAL ANALYSIS OF LEADERSHIP

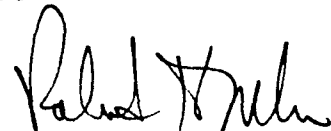
by

Lane S. Anderson, III

A Dissertation Submitted to
the Faculty of the Graduate School at
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in Partial Fulfillment
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Doctor of Education

Greensboro
1980

Approved by



Dissertation Adviser

ANDERSON, LANE S., III. Billy Budd, The Caine Mutiny, and Fiedler's Contingency Model: An Inferential Analysis of Leadership. (1980)
Directed by: Dr. Roland H. Nelson Jr. Pp. 307.

The purpose of this study was to show that the characters in leadership positions (formal and informal) portrayed in Billy Budd and The Caine Mutiny performed predictably with respect to the parameters of the Fiedler Contingency Model of leadership effectiveness. Qualitative inferences concerning character motivations and actions were derived by using the Contingency Model as a baseline for analysis of various leadership behaviors. The two novels selected for this study provided realistic microcosms of bureaucratic organizations in situations which revealed both task-motivated and relationship-motivated leadership types.

Since these leadership types comprise a variety of characteristics encountered in leaders throughout many kinds of organizations, this study has nearly universal application. Additionally, the situational variables reflected the degree of "favorableness" most conducive to the leadership types portrayed. Analyzing the interaction of these situational variables and characters has projected some degree of predictability for effectiveness of leadership types described in Fiedler's theory. Some conclusions were that leaders are more effective in some situations (jobs, circumstances, organizations) than others and that a leader's effectiveness can be enhanced more easily by changing his

situation than by attempts to change him as an individual. Ideally, an exceptional leader must possess the judgment to recognize (or even create) the variables of fluid situations and have the personal flexibility to employ either a task-motivated or a relationship-motivated leadership style.

In attempting to illustrate predictable leadership effectiveness through inferential character analysis, complex psychological and philosophical dimensions had to be considered. Too often, leadership has been assessed only in terms of quantifiable productivity in our results-oriented society. Of course this is the "proof of the pudding" approach to evaluate leaders but it is too simplistic to be comprehensive.

To achieve a more comprehensive evaluation of leadership types, inferences have been drawn to show predictable leader effectiveness not only through the actions of characters but also in psychological and philosophical terms which influenced those actions. Hopefully, the result has been to produce a more multi-dimensional insight into the complexity of leader behavior.

To accomplish the purpose of this study, a literary approach was used to involve readers vicariously in realistic situations of leadership. Only those portions of each novel which portrayed salient qualities of leadership (motivations, words, actions) in the characters were summarized. These qualities were carefully selected for

inclusion as a part of leader profiles which would later become points of analysis. Documented comments of scholarly critics have substantiated the realism of the leader profiles presented throughout this dissertation. The style is relatively free of complex terms and professional jargon (nautical terms excepted) in order to enhance readability for professionals in virtually any field. It is hoped that people in all kinds of organizations can derive some benefit by recognizing situations or styles of leadership portrayed here which might aid them in becoming more effective leaders or at least in understanding leadership behavior within their respective organizations.

APPROVAL PAGE

This dissertation has been approved by the following committee of the Faculty of the Graduate School at the University of North Carolina at Greensboro.

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October 13, 1980
Date of Final Oral Examination

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The research and writing of a dissertation is an odyssey upon which few embark. The journey is fraught with self-doubt, frustration, hard work, self-discipline, loneliness, and occasional despair. One is sustained only through an indomitable endurance of will to successfully complete the journey and provide man with some further insight toward a better understanding of himself.

The ecstasy of such an achievement is not individually agotistical, for the writer realizes that his accomplishment is essentially a composite of both himself and those who have become part of him throughout the endeavor. It is therefore appropriate to recognize those persons responsible for influencing and facilitating the completion of this dissertation.

Aside from my family members, the greatest influences on my work have been the members of my doctoral committee. I should like to recognize each member with his respective alma mater of doctoral study since one of the strengths of the committee was the high degree of expertise in varied disciplines. The chairman was Professor Roland H. Nelson (Harvard University). Dr. Nelson was the key to the success of this dissertation. Considered to be a renowned expert in the field of leadership, Dr. Nelson provided professional

guidance throughout my endeavor. I especially thank him for his understanding and flexibility in allowing this unique, literary approach to the study of leadership. Two committee members whom I would like to recognize jointly are professors Fritz Mengert (Ohio State University) and Don Russell (Boston University). Both of these men have influenced me tremendously in the study of ethics and philosophy which is crucial to understanding the motivations of leader behavior. Professor Robert O. Stephens (Texas University) of the English Department provided invaluable guidance with respect to the literary considerations of this dissertation. Dr. Stephens loaned several books to me which were excellent guides to researching the initial criticism for the study. Professor Dale L. Brubaker (Michigan State University) was invaluable in his personal guidance through the doctoral process. As a neighbor and good friend, Dr. Brubaker was always accessible whenever I had a question or a doubt about the writing of this work. Dr. E. William Noland (Cornell University), Distinguished Professor in the Sociology Department, influenced my studies in organizational leadership and management. Like the other members of the committee, he exemplified a rare blend of scholarship and teaching ability. I will always be indebted to him for the personal interest he showed during the development of this study. Dr. Noland is not only a distinguished professor but an exceptional individual and

will continue to be a model of humanity for which others (including myself) should aspire.

My last acknowledgment is really a dedication to my wife and daughter. The best decision of my life was marrying Joanne. Her great beauty and strength of character continue to be idyllic in my increasing love for her each day. She is my closest friend and embodies those qualities of life which I hope to achieve someday. Our daughter Julia Elliott is now almost five and has been the source of greatest happiness in our life together. She has enjoyed "helping Daddy" write his dissertation over the past year as well as "learning her A, B, C's" on my electric typewriter. To you, "Joanna" and "Julie," I dedicate this work. I will always love you.

L. S. A.

TABLE OF CONTENTS

	Page
APPROVAL PAGE	ii
ACKNOWLEDGMENTS	iii
LIST OF TABLES	x
LIST OF FIGURES	xi
PREFACE	1
CHAPTER	
I. LEADERSHIP: AN INTRODUCTORY OVERVIEW	4
The Era of Scientific Management	8
Weber and the Bureaucratic- Charismatic Leader	11
Recent Humanistic Leadership Theory	14
II. <u>THE FIEDLER CONTINGENCY MODEL OF</u> <u>LEADERSHIP</u>	25
III. HERMAN MELVILLE AND <u>BILLY BUDD</u> : A LOOK AT THE MAN AND HIS NOVEL	36
Chronology of Melville's Life	36
Melville and His Inside Narrative	39
Historical Sources of <u>Billy Budd</u>	44
Brief Synopsis of <u>Billy Budd</u>	48
IV. <u>BILLY BUDD'S SETTING EVALUATED WITHIN THE</u> <u>SITUATIONAL FAVORABLENESS DIMENSION OF</u> <u>FIEDLER'S CONTINGENCY MODEL</u>	51
FOREWORD TO CHAPTERS V, VI, AND VII	56
CHAPTER	
V. THE "HANDSOME SAILOR"	57
Billy's New World	62
Billy and the Dansker	63
The Trap Is Laid	65
The Confrontation	67

CHAPTER	Page
Billy and the Drumhead Court	68
The Christ Figure	70
The Hanging	72
Aftermath	74
Billy Budd and Fiedler's <u>Contingency</u> Model: A Conclusion	76
VI. THE MASTER-AT-ARMS	78
The Nature of Claggart's Depravity	81
The Monomania of Evil	84
The Distortion of Claggart's "Profound Passion"	86
The Accusation	88
The Serpent's Death	90
Claggart Within Fiedler's <u>Contingency</u> Model	91
VII. THE CAPTAIN	93
A Situation of Tragedy	97
The Tragic Test	101
Sanity or Insanity	102
The Drumhead Court	105
The Arguments of Law	106
The Visitation	112
The Execution	115
Vere's Death	117
Vere: A Further Analysis	118
Vere in Retrospect	120
Captain Vere and Fiedler's <u>Contingency Model</u>	131
VIII. HERMAN WOUK AND <u>THE CAINE MUTINY</u> : A LOOK AT THE MAN AND HIS NOVEL	134
Brief Chronology of Wouk's Life	134
Wouk and the Realism of Traditional Values	137
Brief Synopsis of <u>The Caine Mutiny</u>	143
FOREWORD TO CHAPTERS IX, X, AND XI	146
Articles 184, 185, and 186	147

CHAPTER	Page
IX. THE SETTING OF THE CAINE MUTINY EVALUATED WITHIN THE SITUATIONAL FAVORABLENESS DIMENSION OF FIEDLER'S CONTINGENCY MODEL	150
X. QUEEG	160
Queeg's Arrival: De Vriess' Departure	161
The New Regime	166
The <u>Caine</u> Gets Underway	172
A Change of Orders	174
A Cable Is Cut	177
Queeg Explains the Fiasco	184
Bearing Down	188
The Voyage Home 1	190
The Overhaul	195
Bad to Worse	200
Stillwell's Court-Martial	208
The Screw Tightens	214
The Mutiny	221
The Court-Martial	228
queeg as hero	243
XI. THE <u>CAINE</u> LEADERSHIP AND FIEDLER'S <u>CONTINGENCY MODEL: AN INFERENTIAL</u> <u>ANALYSIS</u>	246
Willie Keith	248
Tom Keefer	251
Steve Maryk	257
Philip Francis Queeg	261
Admiral Halsey's View	275
XII. SYNTHESIS	277
The Situational Contingency Aboard the <u>Bellipotent</u>	277
Captain Vere	278
Claggart	279
Billy Budd	280
The Situational Contingency Aboard the <u>Caine</u>	282
Philip Francis Queeg	284
Model	284
Steve Maryk	285
Tom Keefer	286
Willie Keith	287

CHAPTER	Page
Comparison and Contrast of Leader- ship Types Portrayed	288
Conclusion and Implications	290
Questions for Further Study	293
BIBLIOGRAPHY	299

LIST OF TABLES

Table	Page
1. Least Preferred Co-worker (LPC) Questionnaire	31
2. Summary of Field and Laboratory Studies Testing the <u>Contingency Model</u>	33

LIST OF FIGURES

Figure	Page
1. Continuum of Leadership Behavior	23
2. Continuum of Manager-Nonmanager Behavior	24
3. The <u>Contingency Model</u>	32
4. Correlations Between Leader LPC Scores and Performances in Various Cells of the Situational Favorableness Dimension	35
Drawing of USS <u>Caine</u> (DMS 22)	149

"There is nothing so practical as a good theory."

Kurt Lewin

PREFACE

Theories of leadership are as diverse and numerous as the writers who attempt to define or quantify such an elusive concept of human behavior. The variables and their combinations seem infinite and complex, thereby rendering exact conclusions virtually meaningless except, perhaps, in extremely controlled or very specific environments. While quantitative research is important in leadership studies, much of the research in this area is of a qualitative and inferential nature which suggests generalizations about the interaction between leadership theory and leadership practices. A good compromise of these two approaches appears to be embodied in the case study method which analyzes a specific microcosmic slice of organizational life and suggests macrocosmic generalities which can be applied to variable situations in a manner deemed appropriate by whomever the reader might be.

Much has been written about leadership within bureaucracies and military leadership in particular. In the military context, the Navy has often been considered exceptionally steeped in tradition, protocol, and strict adherence to duty in the accomplishment of its mission. Even though some changes have occurred in Navy regulations

during the last two decades, the remnants of what constitutes traditional naval leadership, based on centuries-old precedent, continue to pervade naval commands.

Recent studies (Klemp, Munger, & Spencer, 1977) have been conducted by the Navy in order to ascertain specific competencies of superior naval officers in an effort to bridge the gap between what theory says leadership should be and what officers actually do.

Within this context, the dissertation which follows will evaluate Fiedler's Contingency Model of leadership effectiveness through a comprehensive study of Herman Melville's Billy Budd (1891) and Herman Wouk's The Caine Mutiny (1951). It is hypothesized that the main characters in leadership positions (both formal and informal) of the novels The Caine Mutiny and Billy Budd performed predictably with respect to Fiedler's Contingency Model of leadership effectiveness.

Fiedler's Model is based on the assumption that no single personality trait pattern or style of leadership behavior assures effective performance in all leadership situations. Fiedler believes that "the performance of a group is contingent upon both the motivational system of the leader and the degree to which the leader has control and influence in a particular situation, the 'situation favorableness'" (Fiedler & Chemers, 1974, p. 73). Briefly,

a leader attempts to satisfy his own goals as well as those of the organization or group.

Since the subjects of this study are literary characters, this writer can only vicariously analyze their respective behaviors. Ostensibly, statistical data cannot be gathered from fictional persons so there will be no "hard evidence" to support the aforementioned hypothesis. However, the novels selected basically reflect "real-life" contingency situations appropriate for inferential correlation with Fiedler's Contingency Model. Statistical data will consist of tables and graphs of Fiedler's Contingency Model, as well as any other relevant quantitative data.

After a brief introductory overview of pertinent leadership theories and a presentation of the Fiedler Contingency Model, the basic structure of this study will utilize the literary approach in showing a relationship between inferences derived from literary criticism of the novels mentioned and Fiedler's Contingency Model of leadership.

CHAPTER I

LEADERSHIP: AN INTRODUCTORY OVERVIEW

A study of a concept as broad and complex as leadership behavior and effectiveness is a challenge. The more one researches the current and past theories commensurate with supplemental tables and charts, the more one realizes the futility of arriving at a single "model" which would encompass all the independent and dependent variables of interaction among a structured group of people. The world is, indeed, primarily gray.

Ralph Stogdill (1974) aptly observed that there are probably as many different definitions of leadership as there are persons who have attempted to define the concept. His survey of leadership theory seems to point toward a general consensus definition of leadership as a "social influence process." Similarly, Kast and Rosenzweig (1974) state that "leadership is (1) a process and (2) a status grouping. Directors, executives, administrators, managers, bosses, and chiefs would typically be included in the category called leadership" (p. 341). However, both men contend that there is a distinction between a manager and a leader stated as follows:

Leadership is a part of management, but not all of it. A manager is required to plan and organize, for example, but all we ask of the leader is that he get others to follow Leadership is the ability

to persuade others to seek defined objectives enthusiastically. It is the human factor which binds a group together and motivates it toward goals. Management activities such as planning, organizing, and decision-making, are dormant cocoons until the leader triggers the power of motivation in people and guides them toward goals. (p. 341)

In a broader sense, it is obvious from the foregoing quotation that one must study leadership in the context of management, organization, and systems.

However, despite the fact that many writers have attempted to "codify" the concept of leadership into a systematic behavior or a list of character traits, leadership remains an elusive intangible art which cannot be measured only in terms of productivity charts and goal achievement. So, what is a successful leader?

Erik Erikson has suggested that the successful and creative leader tries to solve for all what he cannot solve for himself alone. If this definition is accepted, the study of leadership becomes an analysis of the relation between an individual whose motivations are never transparent and a group whose reasons for responding to him are invariably complex, rooted as they are in historical circumstance. (Graubard, 1968, p. v)

Ideally, Shmidt and Tannenbaum (1976) perceive the successful leader as follows:

The successful leader is one who accurately understands himself, the individuals and group he is dealing with, and the company and broader social environment in which he operates. . . . If direction is in order, he is able to direct; if considerable participative freedom is called for, he is able to provide such freedom. . . . Thus, the successful manager of men can be primarily characterized neither as a strong leader nor as a permissive one. . . . Being both insightful and flexible, he is less likely to see the problem of leadership as a dilemma. (p. 126)

Tannenbaum portrays leadership behavior on a linear continuum between "boss-centered leadership" and "subordinate-centered leadership" (Shmidt & Tannenbaum, 1976, Figure 1, p. 117).*

A second figure reflects a convoluted interaction of "manager and non-manager behavior" not only in the organization but also within the broader societal environment (Shmidt & Tannenbaum, 1976, Figure 2, p. 129).*

Seeing graphic portrayals of leadership often leads one to conclude that there is a "system" to effective leadership but these figures only suggest in tangible form the intangible art of motivating others to action. Peter Vaill defined art as "the attempt to wrest more coherence and meaning out of more reality than we ordinarily try to deal with" (McCall, 1977, p. 16). Thus, management through leadership becomes a kind of performing art which orchestrates a complex series of events, processes, and systems. This idea poses a crucial, yet unresolved question of whether a manager can, as a creative leader, effectively control his environment or is a leadership style constrained by the parameters dictated by the leader's environment?

In partial answer to this question, Morgan W. McCall believes that "environment determines (a) what leaders do and (b) which leadership roles are most critical to the organization. Whether leadership matters is a function of environment" (McCall, 1978, p. 6). McCall qualifies his

*Attached at end of chapter.

assertion by perceiving the leader's environment as a function of organizational design with leaders as designers.

"Structural intervention in task, reward, feedback, and power distributions can serve as 'substitutes' for leadership and leaders can be viewed as designers" (McCall, 1978, in Abstract). Hence the design properties of an organizational environment have a great deal to do with providing the proper conditions for the emergence of effective leadership as indicated below:

Making design decisions about leadership involves an intensive look at environmental constraints. Such decisions also require conscious deliberation over what leadership should mean to the organization. It is theoretically possible to design a structure in which leadership will matter very little. This is what the bureaucratic model is all about. It is also possible to design structures which place considerably more importance on individual leaders. As leaders matter more, the success or failure of the organization relies more heavily on individual skills and abilities. (McCall, 1978, p. 7)

The most important implication of design decisions is the power conferred on leaders to act as designers of their units. As a result, the leader is held accountable relative to his impact on the subordinate group.

Most recent theorists of effective leadership contend that two situational variables crucially interact within an organizational environment and have an influential bearing on leadership style.

The first includes structural features of the organization such as power structure, task structure, and patterns of interpersonal relationships. . . . The

second type refers to personality variables used to describe persons who interact within the organizational structures. (O'Brien, 1971, p. 149)

These situational variables will be explored later in the context of Fiedler's Contingency Model (Chapter II). But first, it is important to note several schools of thought which might have had a bearing on the basic research of Fiedler's Contingency Model of leadership effectiveness which was developed between 1951 and 1963 based on the findings of over 800 experimental groups (Fiedler & Chemers, 1974). The overview which follows is by no means all-inclusive but should acquaint the reader with major trends of leadership theory beginning with the era of the industrial revolution, progressing through the mid-twentieth century, and ending with some current leadership thought.

The Era of Scientific Management

In 1886, Henry R. Towne, founder of Yale and Towne Lock Company, sent out an appeal for writings in management theory and practice through the American Society of Mechanical Engineers (ASME). Many articles were published in the group's magazine, Transactions, and were primarily functional in terms of leadership and management.

In 1895 Frederick W. Taylor published an article in Transactions entitled "Piece Work System" which proposed that performance standards should be based on a "scientific" determination of how long a job should take. The era of

"scientific management" was launched in 1911 with the publication of Taylor's The Principles of Scientific Management which advocated the idea of separating "planning from doing" and the beginning of functional staff organization.

According to Haimann and Scott (1974), Taylor was followed by writers like Henry Gantt who published studies concerning production control. Many firms still use the famous Gantt Chart in managing production schedules. Frank and Lillian Gilbreth are noted for their "time and motion" studies to determine the most efficient means of production. Overseas, a French mining engineer by the name of Henry Fayol published his General and Industrial Management in 1916 which was later translated into English in 1949. He advocated the scientific management school of thought and is credited with dividing management activities into six groups: technical, commercial, financial, security, accounting, and managerial. Fayol further subdivided the managerial element into planning, organizing, command, coordination, and control. This emphasis on management was the basic departure of Fayol from Taylor since the perspective of Taylor's work was from the bottom or "shop level."

The theorists of the scientific management movement held the basic premise that man is a rational animal and works solely for economic gain. Another dimension was added by the human relations movement beginning in 1927

with the famous Hawthorne Studies designed by Elton Mayo and conducted by F. J. Roethlisberger and William J. Dickson. The project began as a series of experiments in industrial psychology based on the assumption that a direct relationship existed between workers' productivity and the physical condition of the work environment. As a result of the Hawthorne Studies, the behavioral sciences were introduced to management and leadership (Haimann & Scott, 1974).

In addition to new management principles, the 1930s produced theories of the modern business organization and established management as a recognized discipline. James D. Mooney and Alan C. Reiley systematized principles of formal organizations. "They considered unity of action the principle underlying all organizational efforts and from it they derived three subordinate principles: (1) the scalar principle, based on delegation that created the chain of command coupled with unity of command; (2) the functional principle, based on specialization of work; (3) line and staff, which introduced the idea of support and advisory activities for the main functions of an organization" (Haimann & Scott, 1974, p. 27). In 1938, Chester I Barnard, vice-president of the New Jersey Bell Telephone Company, published The Functions of the Executive which influenced leadership and managerial thinking long after World War II.

Barnard suggested that management's responsibility was to create a cooperative system capable of satisfying the personal objectives of employees while meeting the impersonal objectives of the business. He said that a business could exist by satisfying one or the other objective but a cooperative system would meet both. (Haimann & Scott, 1974, p. 28)

Today's leadership, managerial and organizational thinking seem to embody the basic tenets of Barnard and the human relations movement in general. Concern for the individual, the environment, and the societal obligations of business are obvious ramifications of increasing emphasis on the human element within productive economies throughout the world. However, it must be noted here that Barnard and other advocates of the human relations movement in the Western World were greatly influenced by a German sociologist by the name of Max Weber.

Weber and the Bureaucratic-Charismatic Leader

The important personality variable of "charisma" in evaluating leadership effectiveness within a bureaucratic organization was greatly emphasized in Max Weber's The Theory of Social and Economic Organization published in Germany in 1922. Weber proposed that leadership was derived not only from law and tradition but also charisma.

Unquestionably, many Western social scientists have been influenced by the Weberian idea of the leader who enjoys his authority not through enacted position or traditional dignity, but owing to gifts of grace (charisma) "by virtue of which he is set apart from other men and treated as endowed with supernatural, superhuman, or at least specifically, exceptional powers or qualities." (Tucker, 1968, p. 721)

To fully understand Weber's theory of charismatic leadership, one must look beyond organizational constraints and focus on social movements. The concepts of charismatic leadership and social movement are practically inseparable. There are basically four phases of a social movement inspired by the charismatic leader illustrated as follows:

- (1) The initial phase is the formation of a charismatic following, a group of persons who cluster around the charismatic personality and accept his authority. . . .
- (2) As a charismatic following grows, attracting new members in larger and larger numbers, it achieves the status of a movement. . . .
- (3) Once in power, the movement becomes a movement-regime with enormous resources of influence. . . .
- (4) Finally, a charismatic movement, particularly one that comes to power in a nation, may become international in scope, radiating across national boundaries and enlisting new followers everywhere. (Tucker, 1968, p. 739)

The best time for such a leader to emerge is when social distress arises from discontent with economic, political, or religious conditions. Often, the atrocities inflicted by charismatic leaders emphasize that this type of leader is not always "good" and his followers are not necessarily rational. "Weber uses 'charisma' in a value-neutral manner: To be a charismatic leader is not necessarily to be an admirable individual" (Tucker, 1968, p. 735). The charismatic following is motivated primarily by love, passionate devotion, and enthusiasm.

It might be tempting to say that for Weber, the leader is, in a sense, a *deus ex machina*, a man who brings about what social forces and the institutions in which

they are crystallized are unable to accomplish, namely to co-ordinate the various conflicting interests and unify the groups which represent them. (Lachmann, 1971, p. 129)

Weber's concept of the charismatic leader is not totally absorbed in projecting the leader in a god-like role within a sweeping social movement with world-wide impact. Weber strongly emphasized the positive elements of the organizational bureaucratic model upon the premise that man would act rationally within a basically rationally designed, structured environment. Hence, a bureaucratic-charismatic organizational model would emerge as indicated below:

The rotation of leadership types referred to were believed by Weber to take place against a background of increasing rationalization in society. The process may be conceived as a (bureaucratic-charismatic) cycle fluctuating around a rising curve (social rationalization). . . . Charismatic leadership based on the acceptance of a leader because of his presumed, unusual personality traits, was held to disrupt the process of rationalization. (Gouldner, 1965, p. 60)

Weber also stressed the need for adaptability and a good sense of timing in the charismatic leader in addition to the very important factor of who designs the organization.

With designed institutions, it matters a good deal who designs them. . . . Those who are good at conciliating conflicting group interests and devising compromises which minimize social friction are not necessarily qualified as designers of institutions. Successful manipulation of interests are unlikely to excel in the quality of craftsmanship. Those whose minds are too absorbed the problems of the day are unlikely to be good prophets. (Lachman, 1971, p. 138)

It should be obvious by now that most current theories retain earlier models while adding situational contingencies. The last thirty years (1950s-1980s) of leadership theory have been a blend of scientific, behavioral, and Weberian schools of thought modified by the more recent trends of humanism.

Recent Humanistic Leadership Theory

Reminiscent of Barnard's views of the '30s is the "Motivation-Hygiene Theory" proposed by Frederick Herzberg in 1959. Two hundred engineers in the Pittsburgh area were interviewed and asked to relate events experienced in their work that had resulted in a marked improvement of their job satisfaction or a reduction in job satisfaction. "Five factors stand out as strong determiners of job satisfaction: achievement, recognition, work itself, responsibility, and advancement; the last three being of greater importance for lasting change of attitudes" (Herzberg, 1966, p. 72). In contrast, "the major dissatisfiers were company policy and administration, supervision, salary, interpersonal relations and working conditions" (Herzberg, 1966, p. 74). Hence, the satisfiers seem to describe man's relationship to what he does and the dissatisfiers relate more to the environment in which a person works. Herzberg refers to these factors as "motivators" and "hygiene factors" respectively. In a very real sense, Herzberg designed his

study to test man's two types of needs: his need to avoid pain and his need to grow psychologically.

These animal and human instincts in man were further explored by Abraham Maslow and have a direct bearing on both leader and follower behavior since attitudes motivate actions which are contingent upon unmet needs. Maslow (1970) postulated that man has five basic needs which are depicted in a pyramid arrangement of hierarchy. At the base of the pyramid are man's physiological needs which must be fulfilled prior to ascending to the next level, safety. As each need is satisfied, man can progress to the next higher level. After safety is love, then esteem, and finally self-actualization. Self-actualization, the highest level of need, is the most difficult to define. It can be said that this is the need to become one's full potential.

It is evident from Maslow's need hierarchy that most leaders would have a strong tendency to achieve (or attempt to achieve) the last two levels at the apex of the pyramid. "The satisfaction of needs measures the fulfillment provided against the expectations one brings to it. Autonomy and self-actualization are two needs which managers pointed out as tops in priority. Security is no longer a primary problem" (Haire, Ghiselli, and Porter, 1966, p. 174).

Another important leadership ingredient is the manner in which a leader perceives his followers. Douglas

MacGregor (1960) theorized that an organizational climate was based on assumptions of Theory X or Theory Y. A leader/manager who fits into the Theory X group prefers an organizational climate of close control, centralized authority, autocratic leadership, and minimum participation in decision-making. He believes the average worker is lazy and needs to be forced or threatened to perform well. In contrast, a Theory Y manager believes in general supervision, more decentralization of authority, less reliance on control, and a democratic style of leadership. He assumes that work is natural for man and that people are self-motivated and committed to individual as well as group goals.

Jack R. Gibb (1971) seems to combine both assumptions of Theory X and Y in his assertion that "people must be led. . . . It is the responsibility of the leader to marshal the forces of the organization, to stimulate effort, to capture the imagination, to inspire people, to coordinate efforts, and to serve as a model of sustained effort" (p. 165). He agrees with MacGregor completely with regard to a Theory X or "defensive" leader. "The key to defensive leadership is a state of low trust. . . . The defensive leader can counteract his feelings of inferiority by assuming that his subordinates are less than they actually are; and he can service his hostile feelings by keeping the subordinate in demeaning, dependent, and inferior roles in

relation to himself and to leadership as a class" (Gibb, 1971, p. 169). In contrast, leaders with a high degree of self-acceptance tend to have a high level of trust for their followers (Theory Y).

In conformance with Gibb and MacGregor, John Paul Jones (1962) believed that "strength of a leader will come not from his position in a management hierarchy, but from confidence in himself and in the people associated with him" (p. 54). Thus, the defensive leader is one who relies heavily on positional authority and demonstrates his insecurity by condemning subordinates' growth through excessive centralization.

Somewhat less obvious, and so more dangerous, is the result that may follow too zealous an attempt to control completely in terms of "leadership" rather than to use leadership as an important component of management. . . . The exercise of leadership when it is not called for is implicitly an expression of contempt for one's subordinates and a designation of them as truly inferior rather than merely subordinate. (Gibb, 1971, p. 137)

Mason Haire concurs with Gibb's views as a proponent of decentralization. "A decentralized responsibility and shared objective tend to root authority in the process and in the person rather than in the position, and in the relationship among the working group" (Haire, 1971, p. 8).

With regard to the leader-follower relationship, Chris Argyris (1972) advocates a sociological and psychological approach to explain change (or lack of it) in organizations. "The system will exist as long as the individuals in it

behave according to its requirements. In other words, systems require that individuals behave according to certain prescribed rules. When they do, sociologists apparently conclude that the system tends to be autonomous from the individuals" (p. 118). Consequently, since roles are part of the system and do not always embody humanitarian ideas, many people psychologically withdraw from work even though observable activity continues. Personal growth is stifled. In effect, "Chris Argyris saw a conflict between the individual who seeks activity and independence through psychological development and the bureaucratic, formalized organization which keeps the individual in an infantile state of passive dependence" (Haimann & Scott, 1974, p. 345).

In view of Argyris' assertion, it is obvious that both leader and follower must have the opportunity to achieve in their respective quests for self-actualization. David McClelland (1961) conducted studies in patterns of achievement motivation, "n(motivation)." His work led McClelland to conclude that levels of aspiration were dependent variables of achievement motivation which could be learned. Upon this premise, McClelland believed in the possibility of teaching young people and lower levels of management to raise their motivation.

A sense of achievement, however, must be evaluated in terms of what price one is willing to pay in order to aspire to various levels. Essentially, is a leader willing to

achieve at the cost of production or people? Blake and Mouton (1964) developed a "managerial grid" on which concern for people represents one axis and concern for production represents the other axis. A leader may be high or low on both axes, or he may be high on one and low on the other. The individual who rates high on both develops followers committed to accomplishment of work which leads to a relationship of trust and mutual respect.

If an individual is to fulfill his need to achieve in order to enhance a positive self-esteem, there must exist a positive correlation between one's aspirations and their subsequent attainment. In 1959, Ralph Stogdill developed an "expectancy-reinforcement" theory of role attainment which stated that "as group members interact and engage in mutual task performance, they reinforce the expectation that each will continue to act and interact in accord with his previous performance. Thus, the individual's role is defined by mutually confirmed expectations relative to the performances and interactions he will be permitted to contribute to the group" (Stogdill, 1974, p. 20).

Stogdill's "expectancy-reinforcement" theory ideally reflects a very favorable organizational climate. There are other types of organized environments which Rensis Likert (1967) categorized into four systems as follows: System 1, Exploitive; System 2, Benevolent authoritative; System 3, Consultative; and System 4, Participative Group

Each system contains six key elements: leadership, motivation, communication, decision, goals, and control. All of these dimensions are depicted on a scale by which Likert maintains that the organizational climate can be judged. It is interesting to note that while managers advocate the democratic end of the scale, they tend to practice a combination of systems 2 and 3 (Likert, 1967).

A survey of leadership would not be complete without addressing the concept of decision making which ultimately manifests itself in overt leadership behavior. Cyert and March (1963) postulated four major relational concepts in the theory of business decision making: "quasi resolution of conflict, uncertainty avoidance, problematic search, and organizational search" (p. 116). Later, Herbert Simon (1977) theorized that

decision-making comprises four principal phases: finding occasions for making a decision, finding possible courses of action, choosing among courses of action, and evaluating past choices. These activities are called intelligence, design, choice, and review respectively. (p. 40)

Simon further asserts that there is no reason to believe, however, that a person with a high level of individual decision-making will have a correspondingly high degree of skill in designing decision making systems. "The skills of designing and maintaining the modern decision-making systems we call organizations are less intuitive skills. Hence, they are even more susceptible to training than the skills of personal decision-making" (Simon, 1977, p. 45).

In a final analysis of making organizational decisions, Simon makes a distinction between "programmed and unprogrammed" decisions.

Making programmed decisions depends on relatively simple psychological processes that are somewhat understood, at least at the practical level. These include habit, memory, simple manipulations of things and symbols. Making non-programmed decisions depends on psychological processes that until recently have not been understood at all. (Simon, 1977, p. 52)

In addition to the decision-making process, the concepts of power and authority, differences between formal and informal organizations, emergent and conferred leaders, are also variables which would need further elaboration in a comprehensive study of leadership behavior. But possibly the initial step in any leadership analysis should be to determine why an individual decides (or does not decide) to become a leader. One explanation is as follows:

First, there must be a promise of a large personal reward for the leader if and when the task is accomplished, although the reward need not be material. Second, the leader must feel that he can in fact succeed in accomplishing the task if he tries. Third, the leader must feel that the group supports and accepts him. Finally, the individual must believe that he has the required abilities or skills to get the job done. (Fiedler & Chemers, 1974, p. 14)

The humanistic movement in leadership and management theory continues to gather momentum in current thinking as exemplified in the book simply entitled Leadership by James MacGregor Burns (1978). His basic philosophy is that "leaders, in responding to their own motives, appeal to the motive bases of potential followers. As followers respond,

a symbiotic relationship develops that binds leader and follower together into a social and political collectivity. Cadres form; hierarchies evolve; structure hardens" (p. 452). Burns rejects power manipulation as a basis for leadership and sees the greatest test of leadership as essentially "intended social change." He does not promote the dialectical views of "great man" (elitist) and populist (anti-elitist) theories but is a strong proponent of a consensus of motivating forces between leaders and followers through a kind of mutual transcendence and transactional endeavors.

This brief introductory overview of leadership theory pertinent to the development of Fiedler's Contingency Model has shown that a great deal of influence can be wielded by a charismatic leader or an effective and efficient manager. However, there are numerous situational variables which have to be considered in leadership analysis.

Leadership is highly variable or "contingent" upon a large variety of important variables such as nature of task, size of the group, length of time the group has existed, type of personnel within the group and their relationship with each other, and amount of pressure the group is under. It does not seem likely that we'll be able to devise a way to select the best leader for a particular situation. Even if we could, that situation would probably change in a short time and thus would require a somewhat different type of leader. (Perrow, 1976, p. 14)

It is this type of observation which is the very foundation for the Contingency Model of Fred E. Fiedler.

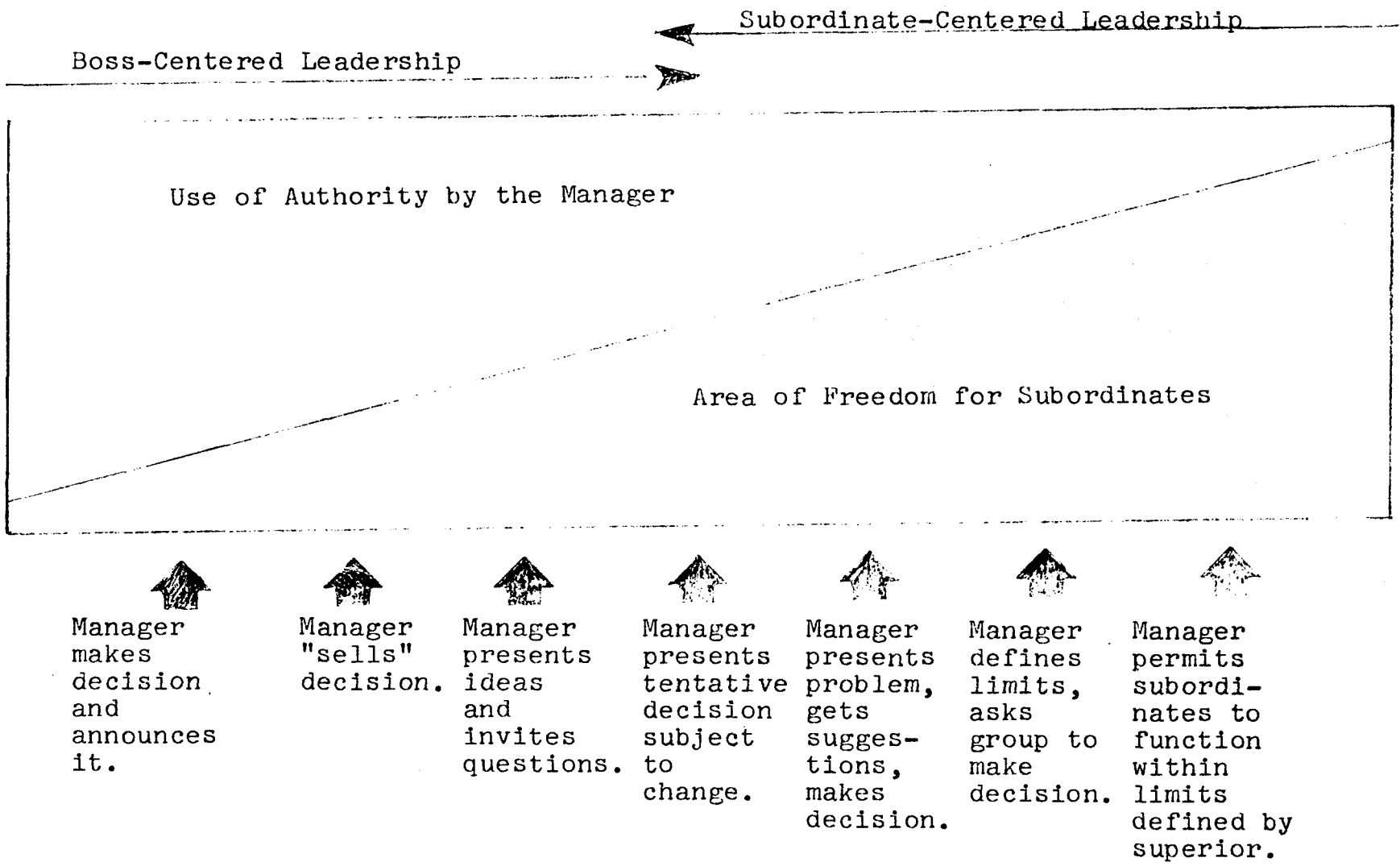


Figure 1. Continuum of leadership behavior

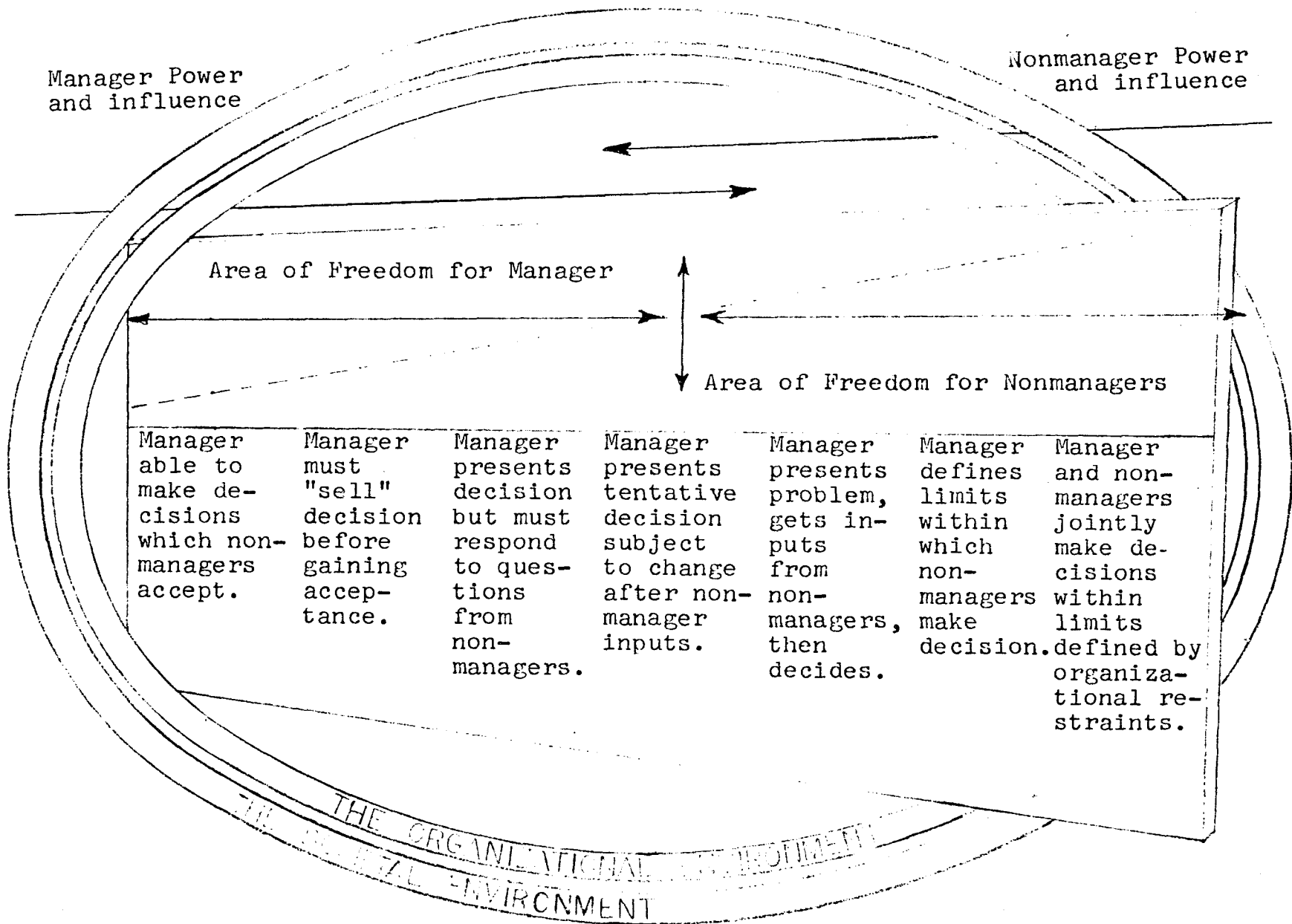


Figure 2. Continuum of Manager-Nonmanager Behavior

CHAPTER II

THE FIEDLER CONTINGENCY MODEL OF LEADERSHIP

One of the most valid and predictive theories of leadership is the one proposed by Fred E. Fiedler called the Contingency Model which evaluates conditions for leadership effectiveness within a situational context (Fiedler & Chemers, 1974). This model is based on the assumption that no single personality trait pattern or style of leadership behavior assures effective performance in all leadership situations. Fiedler believes that

the performance of a group is contingent upon both the motivational system of the leader and the degree to which the leader has control and influence in a particular situation, the "situation favorableness." (Fiedler & Chemers, 1974, p. 73)

In short, a leader attempts to satisfy his own goals as well as those of the organization or group.

The key variable in the contingency theory is the Least Preferred Co-worker(LPC) score. An individual leader is asked to rate the personality traits of people with whom he works least well on a scale from one (least favorable) to eight (most favorable). These 16 characteristics are depicted in Table 1 (Fiedler & Chemers, 1974, p. 75).*

*All figures and tables are attached at the end of this chapter in the order referred to in context for easy reference.

A very negative description of one's co-worker is indicative of a low LPC leader often referred to as a task-motivated leader. Conversely, a very high or moderately positive description of co-worker would indicate a high LPC leader known as a relationship-motivated (considerate) leader. Briefly, a low LPC leader does not consider favorable interpersonal relationships with co-workers as crucial to performance effectiveness but a high LPC leader believes that a positive co-worker relationship is essential even if an assigned task or mission has to become secondary in importance to human considerations.

The Contingency Model (Fiedler & Chemers, 1974, p. 80, Figure 3) is a graphic representation of the relative predictive effectiveness of both high and low LPC leaders contingent upon diverse combinations of situational variables. These combinations are represented by eight "cells" called octants. The three variables under consideration in each octant are: (a) leader-member relations, (b) task structure, and (c) leader position power. The most favorable situation (Octant I) is on the far left of the graph and is characterized by "good" leader-member relations, "structured" task, and "strong" leader position power. Conversely, the least favorable situation (Octant VIII) is on the extreme right of the horizontal axis and is characterized by "poor" leader-member relations, "unstructured" task, and a "weak" leader position power.

The vertical axis indicates the degree to which the leader's LPC score and his group's performance are correlated in various sets of groups within a cell. A point in the graph above the midline shows a positive correlation between LPC and group performance, that is, it shows that the high LPC leaders performed better than did the low LPC leaders. A point below the midline shows that the low LPC leaders performed better than did the high LPC leaders, that the correlation was negative. The heavy line connects the median correlation coefficient in each of the eight cells--in other words, the best prediction of the correlations. (Fiedler & Chemers, 1974, p. 79)

Briefly, then, the Contingency Model predicts that the task-motivated (low LPC) leaders are most effective in very favorable situations (octants I and III) or in quite unfavorable situations (octants VII and VIII). Relationship-motivated (high LPC) leaders perform better in moderately favorable situations as indicated by octants IV, V, and VI

How valid is the Contingency Model? Table 2 (Fiedler & Chemers, 1974, p. 82) indicates the wide variety of studies conducted to test the theory using military organizations, research teams, hospital wards, engineering groups, and others. The results are graphically illustrated in Figure 4 (Fiedler & Chemers, 1974, p. 84) and show that "the theory is highly predictive and that the relations obtained in the validation studies are almost identical to those obtained in the original studies" (Fiedler & Chemers, 1974, p. 83). Octant II is an exception but it is believed that it is too difficult to build into a laboratory experiment and it also reflects a situation in which the particular combination of variables is rare in reality.

The correlation between the medians of the original studies and the medians of the validation studies in field, laboratory and both types of studies are, respectively, 0.85, 0.64, and 0.80 (the first and third are statistically significant). . . . Moreover, 37 of the correlations in [Table 2] were in the expected direction and only 11 were in the opposite direction. This is, again, a finding which is statistically highly significant. The joint probability of these findings, using Fisher's exact test, is less than 0.05. (Fiedler & Chemers, 1974, p. 85)

Obviously Fiedler measures leadership effectiveness in terms of how well the leader's group performs assigned functions. This performance factor seems to be a function of environmental variables as well as the degree of strength of the leader-group relationship. "Other things being equal, it then seems reasonable to measure the leader's performance by his group's success, and this approach is amply justified by the consistent finding that the leader's motivational pattern predicts quite well how well his group performs" (Fiedler & Chemers, 1974, p. 8). In addition, the effective leader must satisfy the requirements of the organization while simultaneously meeting the needs of his subordinates. "Group membership is, in effect, a social contract. Group members surrender some of their autonomy and independence to the leader or authority in return for benefits which they could not acquire alone. A leader who does not recognize that his authority flows from the consent of subordinates is doomed to an unhappy if not short-lived leadership experience" (Fiedler & Chemers, 1974, p. 10). Even if a leader accepts

this "social contract" theory, it is evident that Fiedler's ideal leader must be flexible and adaptable if he works within an atmosphere of environmental flux. "One of the more interesting questions posed by an acceptance of a contingency model is whether a leader can behave flexibly enough to cope with varied situations, or whether it is necessary to either replace the leader as the situation changes or to modify the situation to fit the leader's capabilities. . . . Fitting the man to the leadership job by selection and training has not been spectacularly successful. It is surely easier to change almost anything in the job situation than a man's personality and his leadership style" (Hill, 1973, p. 64). It would seem that a leader would exercise his natural tendencies in the majority of problematic situations but occasionally would assume a "role" if the situation occasionally warrants.

The body of related literature pursuant to the ramifications of Fiedler's Contingency Model is quite extensive and a formal review is not considered necessary for the purposes of this study. Research has shown that the Fiedler model is valid as a premise for this dissertation. Literary criticism with regard to Wouk's The Caine Mutiny is adequate though not as preponderant as that of Melville's Billy Budd. Despite the fact that both of these novels are categorized as fiction, their respective settings, plots, and characterizations accurately reflect reality of the British Navy in 1797

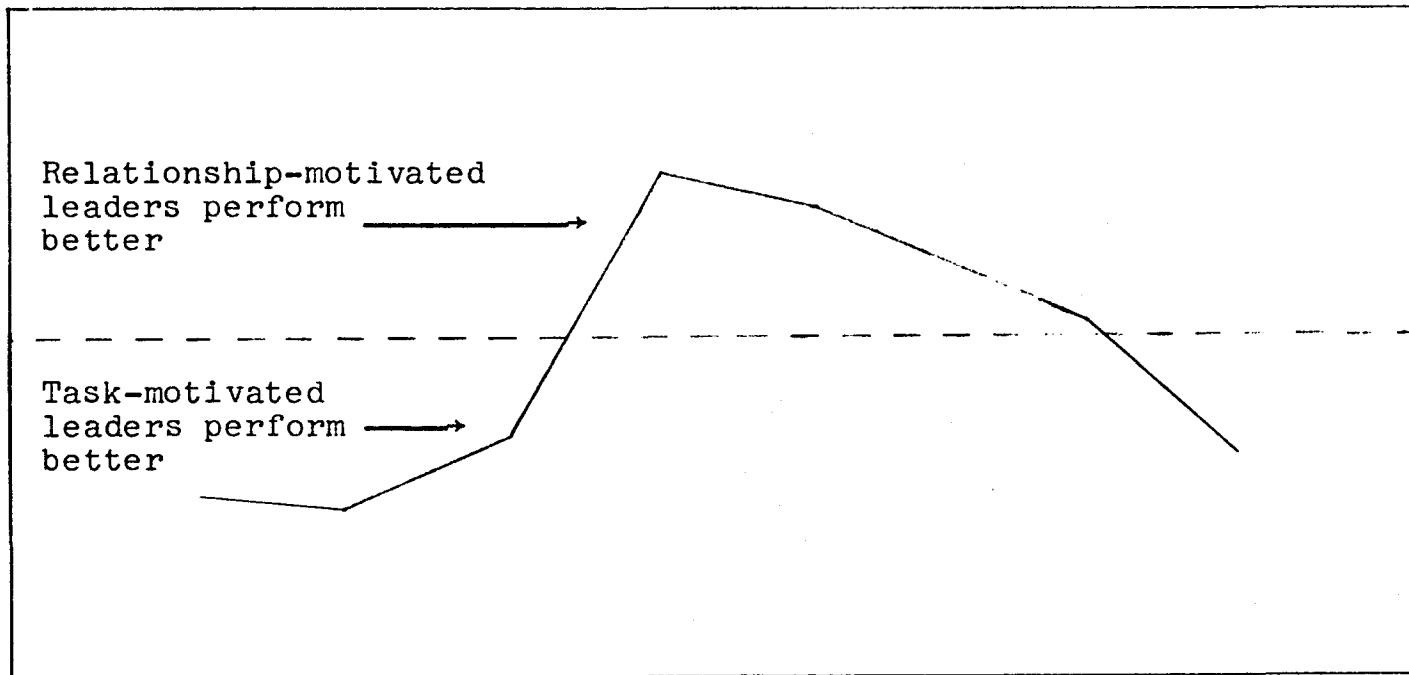
and the U. S. Navy in 1942 (The Caine Mutiny). Therefore, qualitative inferences will be made with regard to character motivations and actions using Fiedler's Contingency Model as a basis for analysis of leadership behaviors.

Table 1

Think of the Person with Whom You Can Work Least Well. He May Be Someone You Work with Now, or He May Be Someone You Knew in the Past. He Does Not Have to Be the Person You Like Least Well, But Should Be the Person with Whom You Had the Most Difficulty in Getting a Job Done. Describe This Person as He Appears to You.*

Pleasant	<u>8</u> : <u>7</u> : <u>6</u> : <u>5</u> : <u>4</u> : <u>3</u> : <u>2</u> : <u>1</u>	Unpleasant
Friendly	<u>8</u> : <u>7</u> : <u>6</u> : <u>5</u> : <u>4</u> : <u>3</u> : <u>2</u> : <u>1</u>	Unfriendly
Rejecting	<u>1</u> : <u>2</u> : <u>3</u> : <u>4</u> : <u>5</u> : <u>6</u> : <u>7</u> : <u>8</u>	Accepting
Helpful	<u>8</u> : <u>7</u> : <u>6</u> : <u>5</u> : <u>4</u> : <u>3</u> : <u>2</u> : <u>1</u>	Frustrating
Unenthusiastic	<u>1</u> : <u>2</u> : <u>3</u> : <u>4</u> : <u>5</u> : <u>6</u> : <u>7</u> : <u>8</u>	Enthusiastic
Tense	<u>1</u> : <u>2</u> : <u>3</u> : <u>4</u> : <u>5</u> : <u>6</u> : <u>7</u> : <u>8</u>	Relaxed
Distant	<u>1</u> : <u>2</u> : <u>3</u> : <u>4</u> : <u>5</u> : <u>6</u> : <u>7</u> : <u>8</u>	Close
Cold	<u>1</u> : <u>2</u> : <u>3</u> : <u>4</u> : <u>5</u> : <u>6</u> : <u>7</u> : <u>8</u>	Warm
Cooperative	<u>8</u> : <u>7</u> : <u>6</u> : <u>5</u> : <u>4</u> : <u>3</u> : <u>2</u> : <u>1</u>	Uncooperative
Supportive	<u>8</u> : <u>7</u> : <u>6</u> : <u>5</u> : <u>4</u> : <u>3</u> : <u>2</u> : <u>1</u>	Hostile
Boring	<u>1</u> : <u>2</u> : <u>3</u> : <u>4</u> : <u>5</u> : <u>6</u> : <u>7</u> : <u>8</u>	Interesting
Quarrelsome	<u>1</u> : <u>2</u> : <u>3</u> : <u>4</u> : <u>5</u> : <u>6</u> : <u>7</u> : <u>8</u>	Harmonious
Self-assured	<u>8</u> : <u>7</u> : <u>6</u> : <u>5</u> : <u>4</u> : <u>3</u> : <u>2</u> : <u>1</u>	Hesitant
Efficient	<u>8</u> : <u>7</u> : <u>6</u> : <u>5</u> : <u>4</u> : <u>3</u> : <u>2</u> : <u>1</u>	Inefficient
Gloomy	<u>1</u> : <u>2</u> : <u>3</u> : <u>4</u> : <u>5</u> : <u>6</u> : <u>7</u> : <u>8</u>	Cheerful
Open	<u>8</u> : <u>7</u> : <u>6</u> : <u>5</u> : <u>4</u> : <u>3</u> : <u>2</u> : <u>1</u>	Guarded

*Fiedler & Chemers, 1974, p. 75.



Leader-member relations	[I] Good	[II] Good	[III] Good	[IV] Good	[V] Poor	[VI] Poor	[VII] Poor	[VIII] Poor	
Task Structure	Structured		Unstructured		Structured		Unstructured		
Leader position power	Strong	Weak	Strong	Weak	Strong	Weak	Strong	Weak	

Figure 3. How the style of effective leadership varies with the situation (Fiedler & Chemers, 1974, p. 80)

Table 2

Summary of Field and Laboratory Studies Testing the Contingency Model*

<u>Field Studies</u>	<u>Octants</u>							
	I	II	III	IV	V	VI	VII	VIII
Hunt (1967)	-.67		-.80		.21		.30	
	-.51						-.30	
Hill (1969)		-.10	-.29			-.24	.62	
Fiedler et al. (1969)		-.21		.00		.67*		-.51
O'Brien and Fiedler (unpublished)		-.46		.47		-.45		-.14
Tumes (1972)	-.47			.62**				
<u>Laboratory Experiments</u>								
Belgian Navy (Fiedler, 1966)	-.72	.37	-.16	.08	.16	.07	.26	-.37
	-.77	.50	-.54	.13	.03	.14	-.27	.60
Shima (1968)		-.26		.71*				
Mitchell (1969)		.24		.43				
		.17		.38				
Fiedler Exec.		.34		.51				
Chemers and Skrzypek (1972)	-.43	-.32	.10	.35	.28	.13	.08	-.33
Rice and Chemers (1973)						.30		-.40
Sashkin (1972)			-.29					

Table 2 (continued)

	I	II	III	IV	V	VI	VII	VIII
Median, all studies	-.59	.17	-.29	.40	.22	-.13	.26	-.35
Median, field studies	-.51	-.21	-.29	.47	.21	-.24	.30	-.33
Median, laboratory experiments	-.72	.24	-.16	.38	.16	.13	.08	-.37
Medians in original studies	-.52	-.58	-.33	.47	.42		.05	-.43

Number of correlations in the expected direction: 38¹
 Number of correlations opposite to expected direction: 9
 p by binomial test: .01

¹exclusive of octant VI, for which no prediction had been made.
 * $p < .05$
 ** $p < .01$

*Fiedler & Chemers, 1974, p. 82.

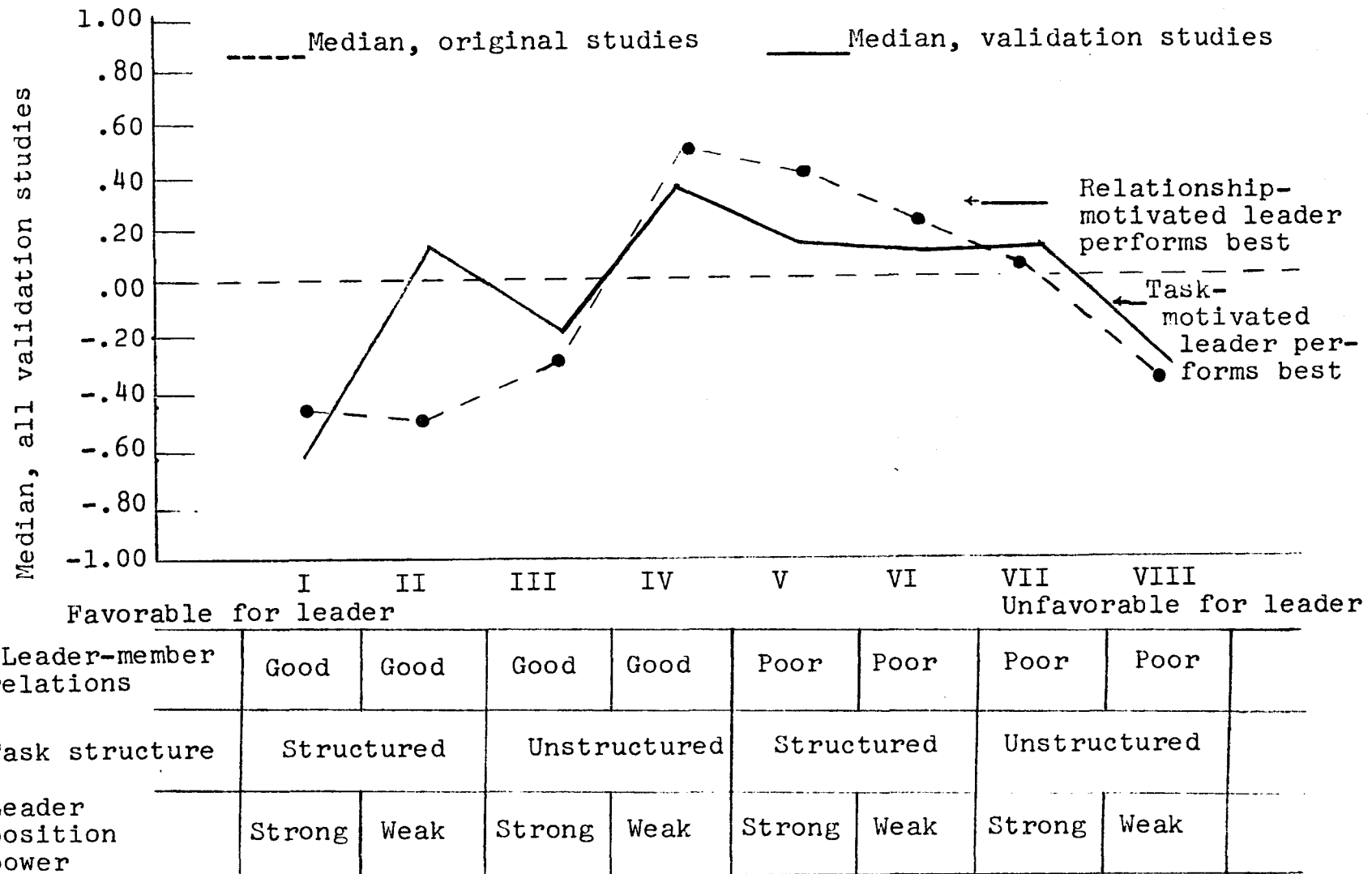


Figure 4. Correlations between leader LPC scores and performances in various cells of the situational favorableness dimension (Fiedler & Chemers, 1974, p. 84)

CHAPTER III

HERMAN MELVILLE AND BILLY BUDD: A LOOK
AT THE MAN AND HIS NOVEL

Before one engages in the analysis of any literary work, it is most helpful to be somewhat knowledgeable of its author, especially those factors which might have had an influential bearing on the work itself. Not only does this enlarge one's overall perspective and insight but it also lends credibility, even to a work of fiction, with respect to the authenticity of events and the veracity of the author's credentials based on his own life experiences. Though Billy Budd is classified as fiction, it is remarkably realistic in its probability of occurrence. As will be seen in the following biographical and critical comments, the novel is a classic on issues of universal ambiguity and remains inextricably reflective of the moral dilemmas which haunted its author, Herman Melville.

Chronology of Melville's Life

- 1819--Herman Melville born as the third of eight children to Allan and Maria Gansevoort Melville on August 1 at No. 6 Pearl Street, New York City.
- 1830--Moved with family to Albany. Entered the Albany Academy.

- 1832--Allan Melville died.
- 1835-37--Clerked in Albany. Taught school near Pittsfield, Massachusetts.
- 1838--Moved with family to Lansingburgh. Took a course in the Lansingburgh Academy.
- 1839--Shipped in June as a sailor on the St. Lawrence for Liverpool; returned to New York in October. Taught school at Greenbush.
- 1840--Visited uncle in Galena, Illinois.
- 1841-44--Shipped as sailor in January on the whaler Acushnet from Fairhaven (New Bedford); stopped at Rio de Janeiro in March; rounded the Cape in June; cruised through the Galapagos Islands in fall and winter. Arrived at the Marquesas Islands in June (1842); deserted with Toby Greene to the interior of Nukahiva in July; signed on the Australian whaler Lucy Ann in August; left ship at Tahiti, escaped to neighboring island of Eimeo; signed on the whaler Charles and Henry in November. Arrived at Hawaiian Islands in April (1843); went to Honolulu in May; signed in August on the frigate United States, which sailed to the Marquesas, Tahiti, Valparaiso, Callao, Lima, and Mazatlan. Arrived at Rio in August (1844) and at Boston in October. Rejoined family at Lansingburgh.
- 1840--Typee published in London and New York. Omoo completed.

- 1847--Omoo published in London and New York. Married Elizabeth Shaw in Boston on August 4; moved to New York.
- 1849--Mardi published in London and New York. Redburn published in London and New York. Completed White-Jacket. Visited London, Paris, Brussels, Cologne, and the Rhineland. Son, Malcolm, born.
- 1850--Returned to New York, began book on whaling. White-Jacket published in London and New York. Moved to "Arrowhead," near Pittsfield, Massachusetts; there met Hawthorne, who was his neighbor until November, 1851.
- 1851--Moby Dick published in London (as The Whale) and in New York. Began Pierre. Second son, Stanwix, born.
- 1852--Pierre published in London and New York.
- 1853--Began to contribute stories and essays to Putnam's and Harper's monthlies. Daughter, Elizabeth, born.
- 1854--Israel Potter serialized in Putnam's.
- 1855--Israel Potter published in book form. Second daughter, Frances, born.
- 1856--The Piazza Tales published in U.S. and England. Completed The Confidence Man. Sailed to England and the Mediterranean, visiting Malta, Syria, Salonica, Constantinople, Alexandria, Cairo.
- 1857--The Confidence Man published in U.S. and England. Traveled through Palestine, Italy, Switzerland,

Germany, the Netherlands, and (again) England.

Returned to America.

- 1858-60--Lectured in South and Middle West. Worked on poems. Sailed to California and returned to New York (1860).
- 1863--Moved family to 104 East 26th Street, New York City.
- 1866--Volume of poems, Battle-pieces and Aspects of War, published. Appointed Inspector of Customs at the Port of New York.
- 1867--Son Malcolm died of a self-inflicted pistol shot.
- 1869--Surviving son, Stanwix, went to sea on the Yokohama, sailing for China.
- 1870--Began work on Clarel.
- 1876--Published Clarel with a subsidy from uncle, Peter Gansevoort.
- 1886--Son Stanwix died in San Francisco.
- 1888--Voyaged to Bermuda, returning by way of Florida. Printed John Marr and Other Sailors privately. Began Billy Budd.
- 1891--Completed Billy Budd. Printed Timoleon privately. Died September 28.
- 1924--Billy Budd published. (Stafford, 1961, pp. ix-x)

Melville and His Inside Narrative

The foregoing biographical chronology readily reveals the intensity and diversity of Melville's sea experience

primarily in the time span between 1839 through 1844. The publications noted reflect an accuracy of historical setting and human character regarding the men and ships in the time before steam. Stylistically, Melville's frequent digressions of description, allegory, and symbolism are an effort to lend realism to character motivation within authentic environments. However, it is precisely due to these digressions that one feels vicariously drawn into Melville's vortex of realism and moral ambiguity.

The chronology also indicates that Billy Budd was Melville's last artistic undertaking, completed only a few months prior to his death. The endeavor was almost a race against time.

While writing Billy Budd, Melville was clearly condemned by Time itself to his imminent death, felt in his blood and in his bones. Against this encroaching catastrophe, Melville fought with the chief resource at his command, his pen, challenging the mortality of the flesh with the immortality of art. (Vincent, 1971, p. 9)

According to Wendell Glick (1953), the novel seems to be the "cogent fruition of a lifetime of observation and study of the eternal conflict between absolute morality and social expedience" (p. 103). This conflict is reiterated by Leon Howard (1971) in terms of the individual within society.

For the problem that bothered Melville in Billy Budd was not the problem of knowledge that had worried him in his youth. It was the problem of man. Is he a social being, responsible to the welfare of the society to which he belongs? Or is he an independent moral individual, responsible to his private awareness of guilt and innocence? This was the dilemma Captain

Vere faced when, in Melville's fiction, the preservation of discipline in the British fleet was absolutely requisite to the preservation of England's freedom. Melville's solution was to make him behave as a social being but pay a penalty by suffering the private agonies of his private conscience. (p. 94)

However, the course of action taken as a solution to any dilemma is always ambiguous and subject to inevitable debate. This is the essence of why William Braswell (1961) refers to Billy Budd as an inside narrative about the tragic conflict in Melville's spiritual life.

The Indomitable, which may be regarded merely as a man-of-war, or, on another plane, as the World of Christendom, appears to me acceptable also as a microcosm, the world of an individual--specifically, the world of Herman Melville--and the story of what happened aboard the Indomitable, the symbolical projection of a personal crisis and the resolution of it. (p. 91)

Roger Shattuck (1971) agrees with Braswell regarding the symbolism of Billy Budd as a reflection of Melville's inner conflict as signified by three facets of human nature.

Captain Vere standing for the pride of both reason and authority, Claggart who represents "depravity according to nature," and Billy, who embodies ingenuous goodness. None of the three is pure, and none is a whole man. The Indomitable puts to sea less as the ship of state or society than as the ship of a complex individual. (p. 82)

Shattuck elaborates further by inferring that multiple man sacrifices part of himself to maintain order and that the sacrifice is often lethal. "In unmistakable allegory, Melville presents the possibility of man's inward division and the accompanying dangers of self-destruction" (p. 83).

This spiritual conflict within Melville is often interpreted as a testament of acceptance in its resolution. E. L. Grant Watson (1933) suggests that Billy Budd is the culmination of Melville's deeper wisdom evolving from the subjective symbolism of rebellion to the more objective symbols of acceptance. Similar to Shattuck's views just mentioned, Watson perceives the inner conflict of Melville portrayed in Billy Budd as divided into three symbolic principles.

Melville called his story "an inside narrative," and though it deals with events stirring and exciting enough in themselves, it is yet more exciting because it deals with the relation of those principles which constitute life itself. A simple-mindedness unaffected by the shadow of doubt [Vere], a divine innocence and courage, which might suggest a Christ not yet conscious of his divinity [Billy Budd], and a malice which has lost itself in the unconscious depths of mania [Claggart] --the very mystery of iniquity--these opposites here meet, and find their destiny. (p. 322).

Watson concludes that these opposites are mutually dependent principles which comprise the very essence of man's realization of himself. However, this realization may be forever shrouded in mystery as Eugenio Montale (1942) observes.

In Billy Budd the life which gives expression with equal violence to good and evil, right and wrong, tries, but without success, to solve its own mystery. It seems as if the truth is to be found in turn in the sacrificial purity of the victim, and in the austere rigor of Vere. (p. 419)

In contrast to Watson's proposal of Billy Budd as a portrayal of Melville's "testament of acceptance," F. Barron Freeman (1948) perceives the novel as symbolic of

Melville's "recognition of necessity." This is a kind of calm acceptance of the necessity of worldly imperfection wherein Billy Budd is a Christian hero practicing resignation and achieving heavenly reward. Freeman sees this as Melville's optimistic acceptance of fate itself. Phil Withim's disagreement with Watson's theory is even stronger in his perception of the wisdom in Melville's later years.

Melville was a fighter, he was stubborn, he never accepted the easy way out. Would it not be contradictory for him, after a lifetime of resisting practical evil in the world at large and metaphysical evil in his novels, at the very end to discover that he had been wrong all along and that his duty had always been to lie down and accept evil as unavoidable? (1961, p. 89)

Regardless of whether one perceives Billy Budd as a testament of acceptance, a recognition of necessity, or a last idealistic defiance of the inevitability of evil, the larger vision of Melville must be considered as transcending the microcosm of one man. This concept is projected by William Tindall (1971) in terms of a moral process:

We may say that Billy Budd is a vision of man in society, a vision of man's moral quandary or his responsibility; but its meaning is more general than these, and that is why it haunts us. So haunted, I find the work not an essay on a moral issue but a form for embodying the feeling and idea of thinking about a moral issue, the experience of facing, of choosing, of being uneasy about one's choice, of trying to know. Not a conclusion like a sermon, Billy Budd is a vision of confronting what confronts us, of man thinking things out with all the attendant confusions and uncertainties. Disorder is a form for this and the apparently formless is a formal triumph. . . . The discursive parts represent our attempts at thinking, while the action, images, and allusions represent what we cannot think but must approximate. Arrangement of these discordant elements forms a picture of a process. (pp. 39-40)

It is this process which must have never ceased in conclusive wisdom within Melville's mind, hence perpetuating ambiguity in written form. In another sense, the novel Billy Budd might have been the final liberation of Melville from himself--a transcendence of that which is perfect in imperfect man beyond the limitations of worldly existence. H. P. Vincent (1971) illustrates this process through an Emersonian idea.

The poets, Emerson said, are the liberating gods, but the most important of their liberations is their own. This, Melville achieved in Billy Budd, and his compositional struggle is emblematic of his psychological and artistic triumph. (p. 10)

The inception of this liberating triumph was generated in Melville's mind by actual historical events of which he was profoundly aware.

Historical Sources of Billy Budd

Melville's novel was dedicated to Jack Chase, captain of the maintop aboard the U. S. Frigate United States in 1843. As noted in the foregoing chronology Melville shipped aboard the United States in August of 1843 and must have regarded Chase as a prototype for the character of Billy Budd. This can be inferred from the nature of the dedication itself when Melville wrote of his friend: "Wherever that great heart may now be/ here on Earth or harbored in Paradise" (Hayford & Sealts, 1962, p. 42). Forty years earlier than the writing of Billy Budd, Jack Chase appeared in Melville's White-Jacket as H. P. Vincent (1971) notes:

First, was John J. Chase, Melville's shipmate on board the frigate United States, transformed into the flamboyant Jack Chase of White-Jacket, and the man to whom forty years later, Melville dedicated his ultimate creation. Jack Chase is the prototype for Billy Budd, but with significant differences, especially in speech, since the rhetorical cascades of Jack Chase contrast strikingly with the stuttering of young Billy. (p. 6)

Vincent also refers to another of Melville's characters in White-Jacket who might have been the initial prototype of Claggart in Billy Budd.

Jack Chase is in the book as is a villain named Bland, a quickly drawn sketch from which Claggart would develop. Furthermore, moral and ethical problems strongly drawn in Billy Budd ricochet throughout the realistic trappings of White-Jacket to give even that comic-satire work a serious and dark side. (p. 6).

According to Charles Anderson (1940), another probable source of Billy Budd was an actual historical event commonly known as the Somers Incident. In November of 1842, the United States brig Somers was returning from a transatlantic cruise under the command of Captain Alexander Slidell Mackenzie. Lieutenant Guert Gansevoort reported that a conspiracy to mutiny was being led by an eighteen-year-old midshipman Philip Spencer, who was also the son of the Honorable John C. Spencer, Secretary of War under President Tyler. Spencer and two fellow seamen were put in irons and a drumhead court was formed for their trial. The ensuing investigation revealed only circumstantial evidence beyond that reported by Lieutenant Gansevoort. While the two seamen exclaimed their innocence, Spencer acknowledged all charges but testified that the whole affair was a joke as it would certainly appear today to the impartial observer. However,

Captain Mackenzie, who was paranoid in his fear of growing disaffection among his crew, instructed the court to find all three of the accused guilty. As a result, they were hanged from the yardarm. Anderson further relates Melville's obvious knowledge of the Somers incident as follows:

Gunner W. H. Meyers of the Cyane recorded in his journal at Mazatlan, Mexico, March 13, 1943: "Read Bennet's Herald with an account of the murder of Midshipman Spence[r] and men belonging to the Brig of War Somers with an account of the insanity of the Captain." This news Melville certainly heard as soon as he stepped on board the frigate United States at Honolulu in August of that year, for such a story would form the staple of ship's gossip for many a month (p. 337)

It is interesting also to note the reaction to Mackenzie's orders through the comments of two authors writing at the time of the Somers incident. C. R. Anderson refers to an article appearing in Cosmopolitan Magazine in 1844 written by Gail Hamilton, describing Mackenzie as follows:

He used "fake and insulting words to Spencer," he was "the father of lies," his character was "brutal and "sinister," and he was actuated throughout by an "inferentially fertile imagination." (Anderson, 1940, p. 341)

Based on Hamilton's description, it is probable that Mackenzie was the prototype of Claggart who passed for a respectable man but was in fact a dangerous madman. This view is further reiterated in an essay by James Fenimore Cooper in 1844, cited by Anderson.

Young Spencer, averred Cooper "all admit, was a great favorite of the crew, even as Billy Budd was the idol of his shipmates. Yet the commander's attitude towards

him was without foundation, one of "prejudice which met the young officer, almost as soon as he crossed the gangway of the brig to join her, and which followed him til he crossed it again with the fatal whip around his neck" an attitude paralleled by the antipathy conceived against Billy Budd from the outset, not by his commander but by the master-at-arms Claggart. [Cooper notes:] upon the head of this officious lieutenant, in common with that of the commander, the blood of the executed rests." (Anderson, 1940, p. 337)

The lieutenant to whom Cooper refers is, of course, Guert Gansevoort who originally accused Spencer of instigating mutiny aboard the Somers. What is startling about Gansevoort historically is his family relationship to Melville.

For the lieutenant whom Cooper calls "officious" and whose character, merged with that of Commander Mackenzie's would thus seem to be the original of the villain Claggart, was no less a person than Guert Gansevoort, Herman Melville's first cousin. (Anderson, 1940, p. 337)

It should be evident that Melville based his novel Billy Budd on people with whom he was acquainted as well as actual historical events. The haunting conflicts within the microcosm of Melville's mind are projected as universal dilemmas in Melville's work. C. A. Reich (1971) refers to Billy Budd as an intensely modern novel which is concerned with the coming of a materialistic, rational, scientific society, growing more distant from the natural instincts of man. This then is indeed the embodiment of the character Billy Budd. Reich notes that

Billy harks back to a more adventurous and youthful America which, with the frontier and the whaleship, was already passing in Melville's lifetime. Billy's type comes from "the time before steamships," the significant words with which the novel opens. (p. 66)

Finally, the historical events which occurred within the British Fleet in 1797 also influenced Melville's selection of his setting for Billy Budd. It was during this time that England was engaged in the Napoleonic Wars against France and a time when French revolutionary ideals were causing men in all countries to question the established order of things. Impressment as well as inhumane treatment of seamen were causing rumblings in some crews aboard British ships. The Admiralty could ill afford to have dissension within ranks, especially during wartime. Nevertheless, unprecedented mutiny on British warships began to surface.

The scene is laid in the momentous year of 1797 made memorable by the mutinies at Spithead and Nore in April and May, which had come near crippling the British Fleet at the very outset of the Napoleonic Wars. Some of the much-needed reforms had been accomplished by the Great Mutiny, according to Melville, but among the abuses that remained was the traditionally sanctioned practice of impressment. With discontent still lurking and the officers apprehensive, H. M. S. Indomitable set sail to join the Mediterranean Fleet in the summer of 1797. (Anderson, 1940, p. 331)

Consequently, several minor mutinies broke out in the Mediterranean Fleet in July and September which were promptly suppressed by officers so as not to have the Nore and Spithead calamities occur on their vessels. Anderson points out that "one of the most serious of these, resulting in the execution of three ringleaders, had occurred in the squadron off Cadiz, the locale of Melville's story" (p. 334).

Brief Synopsis of Billy Budd

It is the summer of 1797 and England is at war with the revolutionists of France. Billy Budd, a foretopman, is

impressed from an English merchant vessel called the Rights-of-Man to the warship, H.M.S. Bellipotent* (Indomitable), commanded by Captain Edward Fairfax Vere. Billy's unassuming character and natural goodness together with his hard work and able seamanship endear him to the crew with the exception of Claggart, the master-at-arms.

This growing hatred for Billy perversely consumes Claggart to the point of obsession. Billy Budd is everything Claggart can never become and must be destroyed. Claggart covertly attempts to ensnare Billy in a fabricated plot of mutiny while outwardly appearing to be friendly. The plot fails so Claggart must resort to direct confrontation.

Aware that the order of the British Fleet has recently been threatened by mutinous attempts at Nore and Spithead, Claggart decides to directly implicate Billy in a supposed conspiracy aboard the Bellipotent. He waits for the most opportune time which would give his charge maximum impact upon Captain Vere.

That time comes when the Bellipotent, independently scouting for the enemy, has just been eluded by a lighter and faster French warship. Captain Vere is visibly agitated about this event when he is confronted by Claggart's accusation that Billy is secretly conspiring mutiny. Not willing

*All quotations in reference to Melville's Billy Budd, Sailor, will be taken from the definitive text edited from the original manuscript by Harrison Hayford and Merton M. Sealts, Jr., University of Chicago Press, 1962.

to believe Claggart, Vere proceeds to the privacy of his cabin along with Claggart and orders that Billy be brought to his quarters immediately.

In the presence of Vere, Claggart repeats his charge to Billy's face which becomes suddenly pale with shock and exasperation. Since Billy stutters in times of emotional stress, he can offer no verbal defense. Instead, he reflexively refutes the lie with a fatal blow to Claggart's forehead.

Not wanting to risk rebellion, Vere quickly appoints a drumhead court to try Billy, not on the alleged mutiny plot, but on the striking of a superior officer under the British Articles of War. Though not a member of the court, Vere virtually acts as prosecutor imploring the members to consider only the criminal act regardless of its moral circumstances. Billy is found guilty and is to be hanged the following morning at muster. Just prior to Captain Vere's giving the fateful signal to the executioner, Billy faces him and exclaims, "God bless Captain Vere!" and then he ascends, both fatally and symbolically.

CHAPTER IV

BILLY BUDD'S SETTING EVALUATED WITHIN THE
SITUATIONAL FAVORABLENESS DIMENSION OF
FIEDLER'S CONTINGENCY MODEL

Prior to a detailed leadership analysis of the main characters in Billy Budd, it is necessary to evaluate the setting of the novel within the situational favorableness dimension of Fiedler's Contingency Model. Even though Melville begins with primary emphasis on the physical and psychological characteristics of Billy Budd, the "Handsome Sailor," and his impressment from the Rights of Man, the chief setting for the story is aboard the H.M.S. Bellipotent, commanded by Captain Edward Fairfax Vere. It was the summer of 1797 and Vere's warship was en route to join the Mediterranean fleet.

In essence, Melville has conveniently isolated the Bellipotent so that no other authority higher than Captain Vere might assume responsibility for command decisions. This factor proves to have great bearing on Vere's feeling of urgency in weighing alternatives as will be seen in a later chapter on Vere. At this point, Melville only states that the independent detachment of the Bellipotent and its assigned mission of scouting for the enemy, was not unusual considering the sailing qualities of the vessel

and the Admiralty's total confidence in Captain Vere's judgment and seamanship.

As one of that fleet the seventy-four participated in its movements, though at times on account of her superior sailing qualities, in the absence of frigates, dispatched on separate duty as a scout and at times on less temporary service. (54T)*

Additionally,

the character of her commander, it was thought, specially adapted him for any duty where under unforeseen difficulties a prompt initiative might have to be taken in some matter demanding knowledge and ability in addition to those qualities implied in good seamanship. (90B)

Equally important as a contingent variable were the events which preceded those which affect the decisions aboard the Bellipotent.

It was the summer of 1797. In the April of that year had occurred the commotion at Spithead followed in May by a second and yet more serious outbreak in the fleet at the Nore. The latter is known, and without exaggeration in the epithet, as the "Great Mutiny." (54M)

Since the Fleet was the military foundation of the British Empire, such incidents were a tremendous blow to traditions of order and discipline. It was as if the "unbridled and unbounded revolt" in France was spreading and undermining institutionalized governments of Europe. "Reasonable discontent growing out of practical grievances in the fleet had been ignited into irrational combustion as by live cinders blown across the Channel from France in flames." (54B)

*The definitive transcription of the manuscript edited by Harrison Hayford and Merton M. Sealts, Jr., 1962, will be used in all textual references to Melville's novel. Page numbers will be followed by the letters (T) top, (M) middle, and (B) bottom indicating exact location in the text.

Understandably, ship captains were apprehensive about such demonstrations occurring aboard their vessels. "Yes, the outbreak at the Nore was put down. But not every grievance was redressed" (58B).

Closely following a description of the events at Spithead and the Nore, Melville interjects a digression concerning the heroic qualities of Admiral Horatio Nelson and the glory of the British fleet at Trafalgar. Melville's intention is probably to present a model of an ideal leader using an actual historical event which coincides with the setting of Billy Budd. Nelson was transferred from the Captain to the Theseus, the latter ship having recently participated in the Great Mutiny.

Danger was apprehended from the temper of the men; and it was thought that an officer like Nelson was the one, not indeed to terrorize the crew into base subjection, but to win them, by force of his mere presence and heroic personality, back to an allegiance if not as enthusiastic as his own yet as true. (59M)

Nelson appears to be a flexible combination of both the task-motivated and considerate leaders and could probably be effective in both favorable and unfavorable situations in the context of Fiedler's Model. Possibly, he is the prototype of the best qualities in both Billy and Captain Vere, combining the ideal and the pragmatic into one. Nelson adheres to regulation as will Vere and yet he will risk deviation from "measured forms" to achieve success in

battle which endears him to men throughout the fleet, a parallel to the admiration elicited from sailors for Billy Budd. It is as if the head and heart as well as reason and instinct are fused into the ideal of Nelson but these become the center of conflict in Melville's novel. Just as Nelson sacrifices himself at Trafalgar through "a sort of priestly motive," so will Billy be sacrificed, necessitated by a transcendent victory achieved by both the head and heart together. Thus, despite the previous mutinies at Spithead and the Nore, the true fiber of the British sailor was exhibited at Trafalgar under Nelson's leadership. "To the mutineers, those battles and especially Trafalgar were a plenary absolution and a grand one" (56T). This in part contributed to the favorable situation aboard the Bellipotent under Vere despite the unfavorable precedent of mutinous conduct in other fleet units.

As will be pointed out in later chapters of character analysis, the situation aboard the Bellipotent was highly favorable and one in which a task-motivated leader would be highly effective according to Fiedler's Contingency Model. In evaluating the various "cells" within each octant of variables, the following inferences will be supported:

(a) the leader-member relationship was quite "good" primarily due to the general respect for Captain Vere by both officers and crew, (b) the task or mission was highly "structured" since the Bellipotent was governed by Admiralty

directives as well as the Articles of War, and (c) leader position power was very "strong" resulting from a combination of both (a) and (c). Collectively, these three variables reveal a very strong case for situational favorableness to be quite positive for leaders in Octant I of Fiedler's Model (see end of chapter II). Thus, aside from the unfavorable precedents of the Nore and Spithead, the setting aboard the seventy-four pounder Bellipotent appears to be favorable for task-motivated (Low LPC) leaders.

Foreword to Chapters V, VI, and VII

The character analysis which follows in Chapters V, VI, and VII will show that Billy Budd, Claggart and Captain Vere acted predictably as leadership types within the contingency variables of Octant I in relation to Fiedler's Contingency Model presented in Chapters I and IV. Each character will be analyzed with respect to what he thinks, says, and does as documented by evidence in Melville's text and the criticism of noted scholars.

The reader should keep in mind the parameters of Fiedler's Contingency Model as he reads the analysis presented. The inferences drawn from the analysis will show that Billy is an ideal form of the informal, relationship-motivated leader. Claggart holds a formal position of authority and is portrayed as an example of Fiedler's task-motivated leader but in an aura of moral depravity. Captain Vere, the focal point of leadership in the novel, is revealed as a classic example of the task-motivated leader who suppresses the consideration characteristic of a relationship-motivated leader in Fiedler's Model.

CHAPTER V
THE "HANDSOME SAILOR"

Melville begins his novel with a descriptive reference to common sailors along Prince's Dock in Liverpool, England. He describes them as "bronzed mariners, man-of-war's men or merchant sailors in holiday attire, ashore on liberty" (43T). One seaman in particular who might have been in this company is referred to as the Handsome Sailor whose "moral nature was seldom out of keeping with the physical make . . . the comeliness and power, always attractive in masculine conjunction . . ." (44B). Thus begins the initial description of the

welkin-eyed Billy Budd--or Baby Budd, as more familiarly, under circumstances hereafter to be given, he at last came to be called--aged twenty-one, a foretopman of the British fleet toward the close of the last decade of the eighteenth century. (44B)

While homeward bound on the merchant vessel, Rights-of-Man, Billy was impressed for service aboard the seventy-four outward-bound H.M.S. Bellipotent. Captain Graveling of the Rights' is understandably upset as Lt. Ratcliffe selects Billy Budd. "Lieutenant, you are going to take my best man from me, the jewel of 'em (46B). Graveling exclaims that before Billy came, his forecastle was a "rat-pit of quarrels." He relates an incident in which a large sailor called Red Whiskers and prompted by

envy provoked Billy too far by prodding him under the ribs with a knife. "Quick as lightning Billy let fly his arm. I dare say he never meant to do quite as much as he did, but anyhow he gave the burly fool a terrible drubbing" (47M). The Captain concluded by stating that Red Whiskers became Billy's friend to the point of loving admiration as did the rest of the crew which Graveling considered more like a happy family under Billy's influence. Ratcliffe's smug reply was simply, "Well, blessed are the peacemakers, especially the fighting peacemakers" (48T).

As Billy was escorted from the merchant vessel, he made no protest and accepted his fate with almost a cheerful attitude much to Lt. Ratcliffe's satisfaction.

It should be noted that Billy Budd has not, even under the severest provocation, any element of rebellion in him; he is too free a soul to need a quality which is a virtue only in slaves. His nature spontaneously accepts whatever may befall. (Watson, 1933, p. 322)

This observation, in contrast with the aforementioned incident with the Red Whiskers, might indicate that there is an element of unpredictability in Billy's normally unassuming and accepting nature. The incident serves to foreshadow the eventual explosiveness in the confrontation with Claggart who will later be seen as Billy's opposite in character.

As for now, Melville goes on to describe Billy as endowed with "the gaiety of high health, youth, and a free heart" naive in the ways of "sinister dexterity"

in dealing with "double meanings and insinuations" (49M). Symbolically, of course, Billy's physical features reflect the purity and strength of his inner character.

He was young; and despite his all but fully developed frame, in aspect looked even younger than he really was, owing to a lingering adolescent expression in the as yet smooth face all but feminine in purity of natural complexion but where, thanks to his sea going, the lily was quite suppressed and the rose had some ado visibly to flush through the tan. (50M)

Though having no known lineage, it is as though Billy's "entire family was practically invested in himself" (50T).

A further description denotes a definite nobility in Billy's uncertain past. He was of the finest Saxon strain with a

reposeful good nature which the Greek sculptor in some instances gave to his heroic strong man, Hercules. . . . The ear, small and shapely, the arch of the foot, the curve in mouth and nostril . . . something suggestive of a mother eminently favored by Love and the Graces; all this strangely indicated a lineage in direct contradiction to his lot. (51M)

Melville adds: "Yes, Billy Budd was a foundling, a presumable by-blow, and evidently, no ignoble one. Noble descent was as evident in him as a blood horse" (52T).

Though a descendant of nobility, Billy was not nobly bred, possessing the qualities of the totally natural man. He was illiterate but could sing like the "nightingale." In many respects, Billy was

little more than a sort of upright Barbarian, much such perhaps as Adam presumably might have been ere the urbane serpent wriggled himself into his company. (52B)

Indeed, there appears to be no inward or outward blemish of Billy's total character, save one.

As if Satan must have a hand in every human's life, Melville implies, Billy possessed the occasional liability of a vocal defect.

Though in the hour of elemental uproar or peril he was everything that a sailor should be, yet under sudden provocation of strong heart feeling his voice, otherwise singularly musical, as if expressive of the harmony within, was apt to develop an organic hesitancy, in fact more or less of a stutter or even worse. (53M)

Hence, even though Billy is described in rather heroic terms, the

avowal of such an imperfection in the Handsome Sailor should be evidence not alone that he is not presented as a conventional hero but also that the story in which he is the main figure is no romance. (53B)

Joseph Schiffman would agree with the last assertion as he perceives Billy as unqualified to be a spokesman for Melville's complex views of life regardless of his moral and physical attributes. Rather, Billy Budd will play a symbolic role to portray something greater than a single individual.

Physically, he is well suited for the role, but he is found wanting mentally. Unperceptive, in fear of authority, extremely naive, suffering the tragic fault of a stammer in moments of stress, Billy Budd cannot qualify as a spokesman. (1950, p. 132)

However, Schiffman's analysis should not imply that Billy was not intelligent. Though not a bookish intellectual, Billy possessed a good mind which was quite astute

in learning those things required to carry out his duties. His apparent ignorance of more worldly concerns is really a manifestation of his naiveté and childlike innocence in dealing with double meanings and insinuations. This inability to perceive the subtlety of evil is a factor in Billy's eventual tragedy. Roland Duerksen (1968) relates that

Billy, although limited in experience, has not withdrawn from participation in life as he found it. Nor does he show an inability to think for himself and to cope with subterfuge when given the opportunity to analyze and understand it. (p. 59)

Duerksen concludes

that Melville means to characterize Billy as a maturing ideal rather than as an undesirable, childish idealist indicated by his explanation, "to an immature nature essentially honest and humane, forewarning intimations of subtler danger from one's kind come tardily if at all." (98T)(Duerksen, 1968, p. 58)

Thus, as Billy boarded the Bellipotent, he was entering the harsher world of a man-of-war made more rigid by martial law and discipline. The setting apart from the crew was to be in conflict with Billy's innocent nature. In reference to Gail Hamilton's (1889) actual account of Philip Spencer's heroic fate "glorified already by the light shining upon him through the opening gates of death" (p. 134), C. R. Anderson notes that

in this character sketch Melville could have found at least a suggestion for his hero Billy Budd, whose youth and good looks, high health, gay spirits, and free heart make of him the archetype of "innocent"--an unsophisticated child-man with the rectitude of an animal, incapable of willing malice or even, in his simplicity, of conceiving its existence. (1940, p. 342)

Billy's New World

"Life in the foretop well agreed with Billy Budd" (68T). It would seem that Billy adjusted well to his new environment but this is only short-lived when early in the novel, Melville subjects Billy to a strong dose of inhumanity the day following his impressment. A young after-guardsmen was being flogged for dereliction of duty having been absent from his post during a critical ship's maneuver.

When Billy saw the culprit's naked back under the scourge, gridironed with red welts and worse, when he marked the dire expression in the liberated man's face as with his woolen shirt flung over him by the executioner he rushed forward from the spot to bury himself in the crowd, Billy was horrified. (68M)

The scene elicited the compassionate sensitivity of Billy's nature and instilled in him the resolve never to be remiss in his duties, even that which might merit verbal reproof.

What then was his surprise and concern when ultimately he found himself getting into petty trouble occasionally about such matters as the stowage of his bag or something amiss in his hammock, matters under the police oversight of the ship's corporals of the lower decks, and which brought down on him a vague threat from one of them. (68B)

This, of course, is a reference to Claggart, the Belli-potent's master-at-arms. Described in more detail in a later chapter, it is sufficient to say now that Claggart developed a kind of envy toward Billy out of a depraved admiration of those qualities in the "Handsome Sailor" that he could never instill within himself. Through

hypocrisy, deceit, and subtlety, Claggart wove his trap for Billy who did not perceive Claggart's sinister intent. "He trusts all men, accepts appearances for what they seem, and is even foolish enough to think that he can become friends with the man who hates him the most" (Seelye, 1977, p. 22). Yet, an uneasy feeling seemed to haunt Billy bordering on a paranoia that something was amiss which could not be made readily apparent.

So heedful in all things as he was, how could this be? He could not understand it, and it more than vexed him. When he spoke to his young topmates about it they were either lightly incredulous or found something comical in his unconcealed anxiety. (69T)

Thus, Billy sought advice from one of the older sailors, a loner nicknamed "Board-Her-in-the-Smoke" since he had served as a member of boarding parties under Nelson's command.

Billy and the Dansker

Though a relatively minor but important character, the Dansker was an old veteran of many years service. Wrinkled in appearance and very taciturn, he was a loner and seemed to keep to himself the stories behind the many scars he had received in sea battles. "His wizened face, time-tinted and weather-stained to the complexion of an antique parchment, was here and there peppered blue by the chance explosion of a gun cartridge in action" (69M).

When the Dansker first saw Billy come aboard the Bellipotent,

a certain grim internal merriment set all his ancient wrinkles into antic play. Was it that his eccentric unsentimental old sapience, primitive in its kind, saw or thought it saw something which in contrast with the warship's environment looked oddly incongruous in the Handsome Sailor? (70T)

As John Seelye (1971) notes, "the Dansker, like Claggart, is of the party of darkness. Where the master-at-arms is a stalking cat, the Dansker is an owl, and both see things that even Captain Vere is blind to" (p. 23).

Despite their differences in nature, "the Dansker in his ascetic way rather took to Billy" (70M) and

Billy, undeterred thereby, revering him as a salt hero, would make advances, never passing the old Agamemnon man without a salutation marked by that respect which is seldom lost on the aged, however crabbed at times or whatever their station in life. (70M).

In fact, it was the Dansker who affectionately substituted "Baby" for Billy, a name by which Billy was eventually called aboard ship.

When Billy approached the Dansker and related his concern to him, the only reply was, "Baby Budd, 'Jemmy Legs' [meaning the master-at-arms] is down on you" (71M). Billy protested that Claggart had always appeared to be friendly and therefore the Dansker's reply made no sense. When pressed further to explain the mystery of his reply,

who had done the spilling, he inwardly became enraged but outwardly passed with "handsomely done my lad! And handsome is as handsome did it, too!" (72M). Billy, in his lack of worldly insight, exclaimed to the sailors in the mess, "There now, who says that Jemmy Legs is down on me!" (72B)

A few days after the "soup" incident, Billy was approached by an afterguardsman who was acting as one of Claggart's pawns. It was a warm night and Billy was dozing topside so as to escape the sultry heat below. As the afterguardsman awakened Billy, he stated, "We are not the only impressed ones, Billy. There's a gang of us.-- Couldn't you--help--at a pinch?" (82M). Since Billy did not immediately comprehend the man's intent, the afterguardsman offered two gold guineas to assure Billy's part in a mutiny conspiracy. Seized by an inner emotion welling up within him in a controlled rage, Billy stammered in dismissing the culprit, "If you d-don't start, I'll t-t-toss you back over the r-rail!" (82B). Obviously, though not to Billy, Claggart was hoping to "frame" Budd in a supposed conspiracy by later finding the proof of the two guineas in Billy's sea bag.

More bewildered than ever, Billy again went to the sage Dansker for enlightenment. Upon hearing Billy's account of the incident with the afterguardsman, the Dansker reiterated his previous conclusion of Claggart

being "down" on "Baby" Budd. As if possessing some knowledge of Claggart's sinister plan yet not divulging that knowledge to Billy, the Dansker exclaimed, "Ho, it was an afterguardsman, then. A cat's paw, a cat's paw!" (85B). And with that, "the old Merlin gave a twisting wrench with his black teeth at his plug of tobacco, vouchsafing no reply to Billy's impetuous question" (85B). As a result, Billy remained confused, not conscious of having said or done anything to provoke the master-at-arms. "As it was, innocence was his blinder" (88B).

The Confrontation

It seemed as if Billy's naive simplicity had ignorantly foiled the subtlety of Claggart's intellect. Yet, Claggart would wait for a more opportune time to ensnare his victim. The incident which precipitated Claggart's next move was the pursuit of a light but fast French frigate by the heavier Bellipotent. After the frigate's escape, Claggart approached Captain Vere who was somewhat agitated from his failure to capture the French vessel. Not wanting to believe Claggart's accusation of Billy partaking in conspiracy for mutiny, Vere ordered Claggart to his cabin and had word sent for Billy.

As Billy entered the Captain's cabin, his only thought was,

Yes, the Captain, I have always thought, looks kindly upon me. Wonder if he's going to make he his

coxwain. I should like that. And may be now he is going to ask the master-at-arms about me. (98T)

With this positive frame of mind, it is understandable that Billy was shocked when Claggart was asked to repeat his accusation to Billy's face. Mentally and physically transfixed, Billy was unable to defend himself, even with a stammer, despite Vere's calm prodding. Contrary to Captain Vere's intent to calm Billy, now understanding the nature of his impediment, the opposite was effected. The paralysis within Billy, brought about by the shocking insult uttered in Claggart's accusation before Vere whom Billy admired, served to intensify the defendant's inability to speak. Billy's eventual reply was deadly. "The next instant, quick as the flame from a discharged cannon at night, his right arm shot out, and Claggart dropped to the deck" (99M). Ironically, while Billy is responsible for Claggart's violent fate, Claggart through his sacrifice triumphs in sealing Billy's as well.

His inability to adapt to society is the inability of nature to be civilized. Billy is incapable of acquiring experience. And the failing that leads to his execution is his incapacity to use the civilized man's weapon of speech. In society, natural forces cannot fight out their battles. Billy cannot use his physical strength to strike back at Claggart. (Reich, 1971, p. 57)

Billy and the Drumhead Court

Captain Vere acted quickly to try Billy's case in as much secrecy as possible. Vere plays a major role in

the courtroom scene which will be analyzed in greater detail later. As the court members assembled in Vere's cabin, Billy was brought in from a smaller stateroom to answer in response to Captain Vere's testimony:

Captain Vere tells the truth. It is just as Captain Vere says, but it is not as the master-at-arms said. I have eaten the King's bread and I am true to the King. (106T)

Billy added that he bore no "malice" against Claggart and would not have struck him had he possessed the ability to answer with his tongue. "But he foully lied to my face and in presence of my captain, and I had to say something, and I could only say it with a blow, God help me!" (106M).

When pressed further by the court to divulge the names of any member of the ship's company who might be involved in a mutinous conspiracy, Billy answered in the negative despite the bribe by the afterguardsman. This was due to "an innate repugnance to playing a part at all approaching that of an informer against one's own shipmates-- the same erring sense of uninstructed honor which had stood in the way of his reporting the matter at the time" (106B). As a final question, the court asked Billy why Claggart would have lied if there was no malice between them. "At that question, unintentionally touching on a spiritual sphere wholly obscure to Billy's thoughts, he was nonplussed" (107M).

Billy was removed from the cabin as the court deliberated its decision. Captain Vere intervened with a

reminder that the conspiracy of mutiny was not to be considered; rather, the striking of a superior officer under the Articles of War, is the chief issue. In short, no regard should be given to the situational variables but only attention to the consequences of the act itself. "In brief, Billy Budd was formally convicted and sentenced to be hung at the yardarm in the early morning watch, it being now night" (114B).

The Christ Figure

After Captain Vere communicated the findings of the court to the prisoner, Billy was put in irons on the starboard side of the Bellipotent's upper gun deck. Melville's description of Billy in contrast with his harsh surroundings is a masterful piece of juxtaposition. Surrounded by the black guns and other implements of war, Billy lay prone in his white jumper and trousers "in the obscure light of the bay like a patch of discolored snow in early April lingering at some upland cave's black mouth" (118B). In effect, he is already in his funeral shroud as a faint glimmer of lantern light above seems to create an angelic halo about his head.

Finding Billy "lying between two guns, as nipped in the vice of fate" (119B), the ship's chaplain came to offer consolation. However, the chaplain withdrew momentarily "feeling that even he, the minister of Christ though receiving his stipend from Mars, had no consolation

to proffer which could result in a peace transcending that which he beheld" (120T). Upon returning, the chaplain tried to relate some "godly" understanding of death to Billy, but it was to no avail.

Not that like children Billy was incapable of conceiving what death really is. No, but he was wholly without irrational fear of it, a fear more prevalent in highly civilized communities than those so-called barbarous ones which in all respects stand nearer to unadulterate nature. (120M)

O. L. Fite (1968) believes that Billy's attitude toward death could be based on Melville's interpretation of Schopenhauer's discourse on the denial of the will to live in The World as Will and Idea (1887). "Billy's behavior following his unfortunate felling of Claggart does give some evidence that he accepted the death sentence with complete resignation and came to his death with astonishing cheerfulness" (Fite, p. 337). Long interested in the concept of ultimate nothingness, Melville must have been fascinated by Schopenhauer's treatment on the concept of Buddhism (possible derivation of Budd) as a means of viewing the opposite of the rational-scientific and conventionally religious as equally absurd.

Schopenhauer believed that every individual is a manifestation of the same entity and therefore lives in every other manifestation. It is as if one would live forever so death is not to be feared. Rather, death should be considered that process which destroys the illusion separating one's consciousness from that of others. In

this manner, one achieves immortality. O. L. Fite sees Billy as the "beautiful soul" in Schopenhauer's philosophy reflecting the belief that the good man lives in a world of individuals whose well-being he regards as his own. "This man is close, at least, to the level of self-denial and has reached the understanding that his welfare and that of others is one and the same since all are a part of the same unity: the world spirit, nature, the in-itself of the will" (Fite, 1968, p. 340). However, it is doubtful that Billy consciously understood the significance of death in relation to Schopenhauer's concept.

Having denied his will to live, he could see his death as an event of importance only as it served a purpose for the whole community. That Billy consciously understood this transcendental idea seems unlikely from Melville's description of him; however, his acceptance of Captain Vere's explanation of his guilt before the law and of his coming death as matters of course indicates at least unconscious recognition of these concepts. (Fite, 1968, p. 341)

Thus Melville describes the chaplain's futile efforts to "impress the young barbarian" with thoughts of salvation and a savior "like a gift placed in the palm of an out-reached hand upon which the fingers do not close" (121M).

The Hanging

As a white vapor formed on the horizon in the East, eight bells were struck signalling four o'clock in the morning. "Instantly the silver whistles were heard summoning all hands to witness punishment. . . . Man or boy, none spake but in whispers, and few spake at all" (122M; 123T).

Billy, accompanied by the chaplain, was brought up on deck and stood beneath the mainyard facing aft. Captain Vere was facing forward from the poop deck with the marines in full gear on the quarterdeck below him. Billy's only words were "God bless Captain Vere!" (123M) which was repeated in a response from the crew. "And yet at that instant Billy alone must have been in their hearts, even as in their eyes" (123B). In the next moment, Vere gave the signal and

it chanced that the vapory fleece hanging low in the East was shot through with a soft glory as of the fleece of the Lamb of God seen in a mystical vision, and simultaneously therewith, watched by the wedged mass of upturned faces, Billy ascended; and, ascending, took the full rose of the dawn. (124M)

Ironically, E. L. G. Watson (1933) sees a melding of souls between Vere and Billy at the precise moment of the execution.

Every image has its significant implication: the very roll of the heavily-cannoned ship so majestic in moderate weather--the musket in the ship-armourer's rack; and Billy's last words are the triumphant seal of his acceptance, and they are more than that, for in this supreme passage a communion between personality at its purest, most God-given form, and character, hard hammered from the imperfect material of life on the battleship Indomitable, is here suggested, and one feels that the souls of Captain Vere and Billy are at that moment strangely one. (pp. 326-327)

In contrast to Watson's statement, Richard Chase (1948) observes that,

by portraying Billy Budd, not as Isaac or the fallen Adam, or Oedipus, but as the innocent hermaphrodite Christ who ascends serenely to the yardarm of the frigate, Melville made it impossible for us to see the

tragedy we ought to see in the betrayal of the young hero to the man of power and law by the man of retributive righteousness. (p. 1217)

Aftermath

In the closing chapters of the novel, Melville portrays the memory of Billy Budd as something which transcends the finality of physical death through spiritual martyrdom.

Billy Budd, a "martyr to martial discipline," is completely innocent, a "young Adam before the Fall," who cannot even comprehend the thought of salvation or a Savior nor that of law or sin. In his sacrificial death he is transformed into a Christ figure. (Brumm, 1975, p. 405)

F. Barron Freeman (1948) observes that Billy's apparent helpless defeat ironically becomes reincarnated as a living symbol for all sailors. Joseph Schiffman (1950) reiterates this assertion. "Thus Billy becomes--under Melville's ironic pen--something he never intended becoming: a symbol to all blue jackets of their hardship and camaraderie. He stammered in life, but spoke clearly in death" (p. 136). Melville writes of this transcendent martyrdom of sailor legend as follows:

Everything is for a term venerated in navies. Any tangible object associated with some striking incident of the service is converted into a monument. The spar from which the foretopman was suspended was for some years kept trace of by the bluejackets. . . . To them a chip of it was as a piece of the Cross. (131M)

These sailors instinctively knew that Billy was the kind of man incapable of mutiny or murder despite an

official account of the incident aboard the Bellipotent which appeared in a navy chronicle of the times, a portion of which read:

John Claggart, the ship's master-at-arms, discovering that some sort of plot was incipient among an inferior section of the ship's company, and that the ringleader was one William Budd; he, Claggart, in the act of arraigning the man before the Captain, was vindictively stabbed to the heart by the suddenly drawn sheath knife of Budd. . . . The enormity of the crime and the extreme depravity of the criminal appear the greater in view of the character of the victim . . . The criminal paid the penalty of his crime. The promptitude of the punishment has proved salutary. Nothing amiss is now apprehended aboard H.M.S. Bellipotent. (pp. 130-131)

In conclusion, Wendell Glick (1953) observes that the hanging of Billy Budd might have been Melville's final comment on the impracticality of absolutes in a world of expediency. In essence, Billy became a personification of spiritual moral law which simply does not work when applied to complex social relationships governed by pragmatic regulation. Billy was too good for the world and properly belonged to another, higher plane where the moral principles from which he acted were appropriate. "But in a society composed of man, not angels--in a society in which even Claggarts are to be found--an inferior standard, that of expediency, is the only workable one" (Glick, 1953, p. 110)

Billy Budd and Fiedler's Contingency

Model: A Conclusion

The foregoing evidence presented in this chapter reveals that Billy Budd was a very charismatic, informal leader. His charisma was not used to influence others toward some economic or political goal in the Weberian sense, but his presence seemed to make those around him more aware of their intrinsic, natural inclinations toward humanism and universal brotherhood. As an informal leader, Billy influenced not by power or positional authority but through personal example. The aura of his presence did not influence "measured forms" of legal law and military regulation exhibited by a contagious, innocent sincerity in concern for his fellow men.

Therefore, one might infer that Billy is an example of the "considerate" leader in Fiedler's Model. Personal relationships are extremely important to Billy even to the detriment of task accomplishment or personal survival. He possesses great trust for others though this is often interpreted as innocence and naiveté and might have been his tragic flaw. Thus, Billy acted predictably according to the character analysis presented in the context of the informal, considerate leader. His natural goodness endeared him to his mates as well as to his superiors in formal leadership positions. Had he been tainted with the intelligent deceit of Claggart, the dutiful pragmatism of

Vere, or the wise cynicism of the Dansker, Billy would have acted more as the worldly organization man and survived.

However, Billy did not survive because a "relationship-motivated" leader could not be effective in the situation aboard the iron-disciplined Bellipotent whose primary task was to search out and destroy the enemy. Unlike the contingency factors aboard the Rights-of-Man which reflected a combination of variables in Octants IV and V of Fiedler's Model, highly conducive to a "considerate" leader, the situational contingencies aboard the Bellipotent (Chapter IV) heavily reflect favorableness in Octant I where task-motivated leaders are considered most effective. Almost from the beginning, when Billy was harshly commanded to sit down in the whaleboat taking him from the Rights, his charismatic naturalness was in conflict with the unnaturalness of military law and regulation. Though effective as an informal leader in his job and in his relations with all save Claggart, Billy could not and did not survive in this world but transcends to another.

CHAPTER VI
THE MASTER-AT-ARMS

As Melville begins his description of Claggart, the Bellipotent's master-at-arms, he notes that the original function of such a position was "the instruction of the men in the use of arms, sword or cutlass" (64T). With the advances of gunnery which made hand-to-hand combat less frequent, the master-at-arms of a warship evolved into a position "of chief of police charged among other matters with the duty of preserving order on the populous lower gun decks" (64T).

In describing the physical traits of Claggart, Melville portrays a man who will be the antithesis of Billy Budd. Since Melville noted in Billy's description that "moral nature was seldom out of keeping with the physical make" (44B) the tanned, handsome physique of Billy reflected an ideal inner nature. "The bonfire in his heart made luminous the rose-tan in his cheek" (77T). In contrast, Claggart's skin is of

a pallor tinged with a faint shade of amber akin to the hue of time-tinted marbles of old. This complexion, singularly contrasting with the red or deeply bronzed visage of the sailors, and in part the result of his official seclusion from the sunlight, though it was not exactly displeasing, nevertheless seemed to hint of something defective or abnormal in the constitution and blood. (64B)

Claggart's other characteristics are not indicative of the heroic qualities of beauty, strength, and grace ascribed to Billy.

Claggart was a man about five-and thirty, somewhat spare and tall, yet of no ill figure upon the whole. . . . It served Claggart in his office that his eye could cast a tutoring glance. His brow was of the sort phrenologically associated with more than average intellect . . . (64M)

It would seem that Claggart, both physically and intellectually, is out of keeping with his enlisted station aboard ship.

His hand was too small and shapely to have been accustomed to hard toil But his general aspect and manner were so suggestive of an education and career incongruous with his naval function that when not actively engaged in it he looked like a man of high quality, social and moral, who for reasons of his own was keeping incog. (64B)

Thus, like Billy's past, little is known of Claggart's.

However, this was not an uncommon phenomenon among the crews aboard the ships of the eighteenth century. In an attempt to maintain muster rolls at an acceptable level, the British navy could not always be highly selective of enlisted personnel. In fact, it was no secret "that the London police were at liberty to capture any able-bodied suspect, any questionable fellow at large, and summarily ship him to the dockyard or fleet" (65M). Even among sailors who had voluntarily enlisted, the motive was often less one of patriotism and more of a desire for adventurous escape under the security of the British navy.

Insolvent debtors of minor grade, together with the promiscuous lame ducks of morality, found in the navy a convenient and secure refuge, secure because, once enlisted aboard a King's ship, they were as much in sanctuary as the transgressor of the Middle Ages harboring himself under the shadow of the altar.
(65B)

It was rumored that Claggart was "a chevalier who had volunteered into the King's navy by way of compounding for some mysterious swindle whereof he had been arraigned at the King's Bench" (65T). This rumor, coupled with the fact that the man who filled the position of master-at-arms on any man-of-war was unpopular with the crew, made Claggart the target of many derogatory comments among the sailors. Additionally, Claggart's rapid rise to a relatively high enlisted rank, having entered nautical service so late in life, made him suspect among the men. In fact, Claggart quickly extricated himself from his initial assignments of drudgery through extraordinary efforts and his intellect.

The superior capacity he immediately evinced, his constitutional sobriety, an ingratiating deference to superiors, together with a peculiar ferreting genius manifested on a singular occasion; all this, capped by a certain austere patriotism, abruptly advanced him to the position of master-at-arms.
(67M0)

Furthermore, Claggart's positional authority was pervasive through a network of ship's corporals who were his immediate subordinates.

His place put various converging wires of underground influence under the chief's control, capable when

astutely worked through his understrappers of operating to the mysterious discomfort, if nothing worse, of any of the sea commonalty. (67B)

The Nature of Claggart's Depravity

Unlike Billy, who was incapable of dealing in double meanings and insinuations, Claggart was quite adept in matters of deceit and subtle hypocrisy. It was little wonder, then, that Billy's arrival aboard the Bellipotent aroused an inner hatred born of envy within Claggart.

His very presence on board the ship aroused a spontaneous antipathy in Claggart, so that his sadistic nature could not rest until it played the serpent to this young Adam. As master-at-arms in charge of the ship's discipline, it was an easy matter for him to lay a trap for the guileless Billy and have him brought up for trial as the leader in a mutinous conspiracy. (Anderson, 1940, p. 335)

E. L. Grant Watson (1933) reiterates Anderson's analysis of Claggart's antipathy and envy toward Billy. "His very virtue makes him the target for the shaft of evil, and his quality of acceptance provokes to action its complementary opposite, the sense of frustration that can not bear the consciousness of itself, and so has to find escape in mania" (p. 322). It is obvious to Watson that the conflict between Billy's virtuous nature and Claggart's perverse and envious admiration is inevitable. "Thus, there develops the conflict between unconscious virtue (not even aware of its loss of Eden and unsuspecting of the presence of evil) and the bitter perversion of love which finds its only solace in destruction" (p. 323).

The inevitability of conflict between two such dissimilar characters as Billy and Claggart is made more apparent by Melville's assertion that the limited space and confining quarters of a warship force one to either accept the objectionable qualities of another or leap over the side. There is almost daily contact of each man with every other man aboard the vessel during the performance of duty.

Now there can exist no irritating juxtaposition of dissimilar personalities comparable to that which is possible aboard a great warship fully manned and at sea. . . . Imagine how all this might eventually operate on some peculiar human creature the direct reverse of a saint! (74M)

In conjunction with the influence of the setting just mentioned and Claggart's initial, envious dislike for Billy, Melville digresses extensively in his novel in an attempt to assay the inner nature of Claggart's natural depravity, the essence of his destructive motivation. Melville asserts that one must go beyond Plato's definition of natural depravity as simply being "a depravity according to nature" (75B). In order to comprehend Claggart in relation to a normal nature is insufficient. "To pass from a normal nature to him one must cross 'the deadly space between.' And this is best done by indirection" (74M). Therefore, Melville seeks to apply Plato's definition to the broader sphere of mankind rather than just the individual in order to explain Claggart's nature.

Civilization, especially if of the austerer sort, is auspicious to it. It folds itself in the mantle of respectability. It has certain virtues serving as silent auxiliaries In short, the depravity here meant partakes nothing of the sordid or sensual. It is serious, but free from acerbity. Though no flatterer of mankind, it never speaks ill of it. (75B)

Within this vein, Richard Chase (1948) notes,

so highly "critiqued" is Claggart's depraved mind that, like the mind of mankind, it generates a compensatory vision of Innocence. And this vision is at the root of his ambivalent feeling toward Billy Budd, finding its expression to some extent in a homosexual attraction. Billy Budd's "harmlessness" fills Claggart with both longing and revulsion at the same time that Budd's physical beauty attracts him. (p. 1216)

W. H. Auden (1971) would agree in that Claggart is like the devil. Evil cannot admit sexual desire since this would be an admission of loneliness which pride does not permit. "Either he must corrupt innocence through an underling or if that is not possible he must annihilate it, which he does" (p. 88). In addition, Auden sees the conflict between evil and innocence in terms of consciousness rather than strength. "In Billy Budd, the opposition is not strength/weakness, but innocence/guilt-consciousness, i.e., Claggart wishes to annihilate the difference either by becoming innocent himself or by acquiring an accomplice in guilt" (p. 87).

So, Claggart's "civilized" natural depravity, dark intellect, and perverse envy, become masked in the hypocrisy of outward respectability governed by his sense of prudence.

In civilized society, the chief personal virtue becomes "prudence": the end most worth seeking for becomes

"that manufacturable thing known as respectability," so often allied with moral obliquities, and occasionally as in the case of Claggart, indistinguishable from "natural depravity." (Glick, 1953, p. 107)

This is what makes Claggart's depravity so insidious since it does not have the trappings of evil. As Glick further notes, "prudence, while being the mark of the socially adjusted man who rigidly adheres to the utilitarian principle of expediency, may also be the last refuge of scoundrels" (1953, p. 107).

The Monomania of Evil

In another effort to dissect the mind of his depraved scoundrel, Melville probes further into the apparent thin line between respectable sanity and vicious insanity. While effecting irrational atrocities, Melville notes, men like Claggart appear to be perfectly rational and cool in judgment. "These men are madmen, and of the most dangerous sort, for their lunacy is not continuous, but occasional, evoked by some special object" (76M). Melville goes on to say that this lunacy is always "secretive" to the point that the average mind cannot distinguish it from sanity. For this reason, "whatever its aims may be-- and the aim is never declared--the method and the outward proceeding are always perfectly rational" (76M). As Richard Chase (1948) observes,

in his campaign against Billy Budd, he employs all the devices of "confidence." Subtly obsequious, outwardly frank and friendly, he is a "fair-spoken man,"

speaking in silvery accents with "uncommon prudence"
 (p. 1216)

Claggart's monomania of envy bent on the destruction of Billy Budd becomes compounded by a paranoia of alienation. O. L. Fite (1968) observes, "the evil man, on the other hand, feels himself surrounded by strange and hostile individuals and his only hope is centered in his own good" (p. 341). Schopenhauer (1887) explains this phenomenon even further in terms of the insatiability of the depraved ego.

If, now, a man is filled with an exceptionally intense pressure of will--if with burning eagerness he seeks to accumulate everything to slake the thirst of his egoism, and thus experiences, as he inevitably must, that all satisfaction is merely apparent, that the attained end never fulfills the promise of the desired object that if at last all wishes are exhausted, the pressure of will itself remains without any conscious motive, and makes itself known to him with fearful pain as a feeling of terrible desolation and emptiness; . . . he seeks indirectly the alleviation which directly is denied him--seeks to mitigate his own suffering by the sight of the suffering of others, which at the same time he recognizes as an expression of power. The suffering of others now becomes for him an end in itself, and is a spectacle in which he delights (I, 470)

The great irony of Claggart's mania is that he, other than Captain Vere, is the only man aboard the Bellipotent who can fully appreciate Billy's moral nature. It serves to intensify his dark passion.

One person excepted, the master-at-arms was perhaps the only man in the ship intellectually capable of adequately appreciating the moral phenomena presented in Billy Budd. And the insight but intensified his passion . . .--to be nothing more than innocent! (78M)

Fatalistically, however, Claggart can not discard his natural depravity any more than Billy can alter his natural innocence.

Now something such an one was Claggart, in whom was the mania of an evil nature, not engendered by vicious training or corrupting books, or licentious living, but born with him and innate, in short "a depravity according to nature." (76B)

Claggart's envy can not long be suppressed even by the intellect. "But since its lodgment is in the heart not the brain, no degree of intellect supplies a guarantee against it" (77B). Therefore, Claggart can only admire those qualities in Billy which he perversely envies, eventually leading him to empty uncontrollable despair.

With no power to annul the elemental evil in him, though readily enough he could hide it; apprehending the good but powerless to be it, a nature like Claggart's surcharged with energy as such natures almost invariably are, what recourse is left to it but to recoil upon itself and, like the scorpion for which the Creator alone is responsible, act out to the end the part allotted it. (78B)

The Distortion of Claggart's

"Profound Passion"

"Passion and passion in its profoundest, is not a thing demanding a palatial stage whereon to play its part" (78B). Melville notes that "down among the groundlings, among the beggars and rakers of garbage, profound passion is enacted" (78B). In fact, the circumstances which might provoke such action can be trivial in

relation to the secretive power unleashed. "In the present instance the stage is a scrubbed gun deck, and one of the external provocations a man-of-war's man's spilled soup" (79T).

Such a minor incident during rough seas was greatly distorted in Claggart's mind as perceived through his mania of envy for Billy. Thus, he took it "not for the mere accident it assuredly was, but for the sly escape of spontaneous feeling on Billy's part more or less answering to the antipathy on his own" (79T). The incident seemed to confirm, in Claggart's mind, the occasional reports given him by one of his most cunning corporals, "Squeak," a little man

so nicknamed by the sailors on account of his squeaky voice and sharp visage ferreting about the dark corners of the lower decks after interlopers, satirically suggesting to them the idea of a rat in the cellar. (79M)

"Squeak," sensing that his immediate superior strongly disliked Billy,

made it his business, faithful understrapper that he was, to foment the ill blood by perverting to his chief certain innocent frolics of the good-natured foretopman, besides inventing for his mouth sundry contumelious epithets he claimed to have overheard him let fall. (79M)

Claggart never doubted the veracity of such distorted reports. Thus, Claggart's passion was fueled to greater intensity to put into action his innate, subtle depravity on the object which had provoked it.

But Claggart's conscience being but the lawyer to his will, made ogres of trifles, probably arguing that the motive imputed to Billy in spilling the soup just when he did, together with the epithets alleged, these, if nothing more, made a strong case against him; nay, justified animosity into a sort of retributive righteousness. (80M)

Thus, due to a combination of fate and depraved envy, Melville warns that Claggart's monomania, "like a subterranean fire, was eating its way deeper and deeper in him. Something decisive must come of it" (90T).

The Accusation

As indicated earlier, Claggart chose to play his hand in the moments following the Bellipotent's failure to capture a French frigate which it had pursued for several hours. Claggart emerged from his

cavernous sphere, made his appearance cap in hand by the mainmast respectfully waiting the notice of Captain Vere, then solitary walking the weather side of the quarter-deck, doubtless somewhat chafed at the failure of the pursuit. (91T)

Though not well acquainted with Claggart personally, Captain Vere seemed uneasy about the figure deferentially standing before him. For some unknown reason, it was as though Claggart evoked "a vaguely repellent taste" (91B).

Finally, "with the air of a subordinate grieved at the necessity of being a messenger of ill tidings" (92T), Claggart conveyed his concern that there was a dangerous character aboard who was clandestinely mustering other sailors to some action which ought to be brought to a

commander's attention in view of recent troublesome events elsewhere in the fleet. So as not to allude directly to recent events at the Nore and Spithead, Claggart refrained from even using the word, mutiny, in his message to Vere. This only raised the ire of Captain Vere as he demanded that Claggart speak more directly and name the culprit in question.

Vere was obviously dismayed when Claggart answered, "William Budd, a foretopman, your honor" (94M). The master-at-arms was quick to add that Billy was, "but for all his youth and good looks, a deep one" (94M). In an equally convincing manner, Claggart further stated: "You have but noted his fair cheek. A mantrap may be under the ruddy-tipped daisies" (94B). This last statement was enough to make Captain Vere ruminate in a perplexing manner the information just conveyed. Yet, intrinsically, he must have felt that Claggart's words were false and decided to "test" the accuser in the privacy of his cabin. At this point, R. H. Fogle (1971) observes that in view of the ambiguities of the situation, the skillful and subtle Claggart is strangely clumsy. "He overplays his hand; one would say that he is fey, struck by some unconscious premonition of approaching death, or maddened by irrational hatred" (p. 196).

The Serpent's Death

As Billy entered the Captain's cabin and stood before Vere and Claggart, he was in a very positive frame of mind. Captain Vere then commanded Claggart to repeat his accusation to Billy's face, "and stood prepared to scrutinize the mutually confronting visages" (98T). Claggart approached to within very close range of Billy and "mesmerically looking him in the eye, briefly recapitulated the accusation" (98M).

As Billy stood emotionally paralyzed, Claggart edged closer to Billy as a serpent would to its victim, transfixing him with his stare. "Meanwhile the accuser's eyes, removing not as yet from the blue dilated ones, underwent a phenomenal change, their wonted rich violet color blurring into a muddy purple" (98M). It was as though Claggart's eyes reflected the inner transformation of his soul from all that is human to something more alien that Melville likens to those "uncatalogued creatures of the deep" (98B). Thus, Claggart's stare had its intended devastating effect as the soul of evil confronts the soul of innocence and purity. "The first mesmeristic glance was one of serpent fascination; the last was as the paralyzing lurch of the torpedo fish"(98M).

As Billy unleashed his terrible fury, the blow landed squarely upon Claggart's forehead "so that the body fell over lengthwise, like a heavy plank tilted from erectness.

A gasp or two, and he lay motionless" (99M). As Vere and Billy raised Claggart's body in a futile attempt to revive him, "the spare form flexibly acquiesced, but inertly. It was like handling a dead snake" (99B). Captain Vere summoned the ship's surgeon and requested verification of what he feared to be true. As the surgeon knelt beside the body, "on Claggart's always pallid complexion, thick black blood was now oozing from nostril and ear. To the gazer's professional eye it was unmistakably no living man that he saw" (100B).

Claggart Within Fiedler's Contingency Model

As the foregoing evidence has indicated, Claggart is the classic low LPC, task-motivated leader in Fiedler's Model. He performs efficiently in the contingent situation favorableness of Octant I outlined in Chapter IV. His monomania is suppressed by his subtlety and cunning deceit. The onerousness of the master-at-arms' position aboard ship does not deter Claggart from accomplishing his appointed duties despite the general negative feeling towards him from the crew. As noted earlier, the low LPC leader does not consider positive personal relationships among co-workers as necessary to the achievement of a task.

It is little wonder that Claggart's character was in such strong opposition to Billy who was evaluated as a very high LPC, considerate, informal leader. The innate

possibility of Claggart ever becoming similar to Billy in character is so highly remote that it generates the envy within Claggart's moral depravity, eventually consuming him.

Organizationally, Claggart functions well within the harsh environment of the Bellipotent, highly disciplined by military regulation. Positional authority is well delineated and demands little personal motivation of others to comply with the achievement of prescribed tasks. Claggart's almost paranoiac mistrust of others suits him well in carrying out his "police" function through a network of compliant "understrappers." Thus, Claggart cannot tolerate the qualities in Billy which inspire the admiration of others. A character so free of deceit and lacking in the ability to deal in "double meanings and insinuations" must confound the driving, organizational opportunist. To perceive Billy as a man who is nothing more than innocent is too much for Claggart to bear and in his destruction of Billy Budd, he himself is destroyed.

CHAPTER VII

THE CAPTAIN

Captain the Honorable Edward Fairfax Vere, to give him his full title, was a bachelor of forty or thereabouts, a sailor of distinction even in a time prolific of renowned seamen. (60T)

Thus begins Melville's introduction of Vere who is to be centered between the extremes of both Claggart and Billy Budd. He is the man of decision caught in the middle of a moral dilemma for which there is no clear-cut resolution. According to R. H. Fogle (1960), Melville's initial description of Captain Vere portrays him as a man of balanced opposites, a kind of "golden" mean.

Melville uses a dialectic method of balanced oppositions to describe him: he is of noble birth, but his advancement has not been altogether owing to his family connections; a stern disciplinarian, he is also mindful of the welfare of his men; he is "intrepid to the verge of temerity, though never injudiciously so"; a thorough seaman and naval officer, he never uses nautical terms in ordinary conversation, and is notably unobtrusive as commander of his ship. In politics, he is an enlightened conservative Though practical enough when occasion demands it, he "would at times betray a certain dreaminess of mood." He is exceptionally bookish, and he reads deeply, in "confirmation of his own more reserved thoughts," and to establish settled principles by study of the past. . . . Thus, he has not quite the tact of a man of the world; he is too honest and direct to pay careful heed to immediate circumstances. (p. 193)

The "dreaminess of mood" to which Fogle alludes seemed to reflect a rather pensive habit of Vere's while

at sea. "Standing alone on the weather side of the quarter-deck, one hand holding by the rigging, he would absently gaze off at the blank sea" (61T). If interrupted, Vere would initially "show more or less irascibility; but instantly he would control it" (61T). Thus, he was popularly known throughout the fleet as "Starry Vere," a name originally given him by a kinsman, Lord Denton, upon Vere's return from a West Indian cruise. It seems that just prior to Vere's return, Lord Denton had read a copy of Andrew Marvell's poem entitled "Appleton House" in which the following lines are written:

This 'tis to have been from the first
 In a domestic heaven nursed,
 Under the discipline severe
 Of Fairfax and the starry Vere. (61M)

According to Alice Chandler (1967), the name Vere "was the family name of the Earls of Oxford, and both Edward and Fairfax are names associated with that line" (p. 86). Chandler also notes that in addition to Melville's use of Marvell's poem as a source, he must have also been aware of the Vere family tree.

As the Dictionary of National Biography points out, Vere was a "household word" in the nineteenth century. It was made so in part by a long-standing tradition that used it as a symbol of birth and honor and in part by Macaulay's famous panegyric to the "old earls of Oxford" as "the longest and most illustrious line of nobles that England has ever seen." (p. 86)

However, in spite of such praise, Chandler notes that

the name Vere came to have a pejorative connotation in nineteenth-century fiction where it was often

used to suggest a vapid, if not actually villainous aristocracy. (p. 86)

As an example, Chandler states that one of Tennyson's poems, "Lady Clara Vere de Vere," relates the "story of a high born dame who spurns and thus moves to suicide her lowly lover" (p. 88), which might imply that Vere's noble office might be a factor in the death of Billy. Finally, the name Vere could have had its derivation from Latin, viewed ambiguously as Phil Withim (1961) notes: "Would it not be contradictory, . . . for Melville to use for the Captain's name a word which at first glance suggests veritas 'truth,' but on second glance can as easily suggest veritus 'fear,' or on third glance, vir 'man'?" (p. 88).

John C. Sherwood (1964) sees evidence of Melville's interest in the biography of Lord Collingwood as a link to the characteristics of Captain Vere. Based on a work published in London by William Davies called A Fine Old English Gentleman Exemplified in the Life and Character of Lord Collingwood (1875), Sherwood notes that Cuthbert Baron Collingwood (born in 1750) entered the British navy as a boy and quickly rose to the rank of captain through his exploits in the American revolution. Then, because of distinguished service in the Napoleonic wars, "he was vice-admiral and second in command at Trafalgar and succeeded Nelson as commander in the Mediterranean station" (p. 476). Collingwood died in 1810, despite repeated

requests to return home due to decaying illness. The government had considered him irreplaceable. The characteristics so notable in Collingwood are listed by Sherwood as evident in Captain Vere as follows: superior seamanship, courage, submission to duty and authority, humanity, strictness, conservatism, love of serious and factual reading, and lack of sociability. Lastly, in addition to Chandler's and Sherwood's observation of historical sources for Vere, C. R. Anderson (1940) sees a direct parallel between Vere's fictional ascendancy to rank with that of an actual naval officer of the eighteenth century. "The accuracy with which these facts fit the naval career of Sir William George Fairfax seems to be something more than mere coincidence" (p. 332).

Notwithstanding the foregoing historical sources exemplifying Captain Vere as a leader of able seamanship and competence as a commander of men, Melville portrays Vere as an exceptional Captain because, "unlike no few of England's renowned sailors, long and arduous service with signal devotion to it had not resulted in absorbing and salting the entire man" (62T). Captain Vere was a man who loved books and had a propensity for everything intellectual. The books with which he replenished his library on each voyage revealed a bias "to which every serious mind of superior order occupying any active post of authority in the world naturally inclines" (62M). The books dealt with

actual men in history, biography, and those ideas which were founded on the realities of pragmatic philosophers. In view of unsettled times, these books seemed to reinforce and confirm Vere's conservative beliefs in institutionalized convictions of the status quo. "His settled convictions were as a dike against those invading waters of novel opinion social, political, and otherwise" (62B). He was opposed to the ideals of revolutionary France, not simply because they were a threat to his privileged class but "because they seemed to him insusceptible of embodiment in lasting institutions" and "at war with the peace of the world and the true welfare of mankind" (63T). C. B.

Ives (1962) notes that

so pedantic was his interest in historical fact and so stubborn his lack of interest in human nature that even with those of his fellow officers whose inclinations were thoroughly alien to his, he freely alluded to his bookish research. (p. 37)

It is as if Vere "turned away from literary art or imagination or feeling to the dryness of recorded fact" (Ives, 1962, p. 37).

A Situation of Tragedy

The preceding analysis of Captain Vere's character reveals a nature analogous to Claggart's with respect to prudence and portrays a captain who possesses the requisite quality of every successful military man--a sense of duty. "Personal prudence, even when dictated by quite other than selfish considerations, surely is no special virtue in a

military man; while an excessive love of glory, impassioning a less burning impulse, the honest sense of duty, is the first" (58T). This trait is very strong in Vere's character and heavily influences crucial decisions later in the story.

The situation which develops, forcing Vere to certain courses of action, can only be judged by the reader based on the contingencies outlined in Chapter VI of this paper, the nature of the characters involved, and the sequence of events which follow. In judging Vere's actions, Melville aptly warns against cool logic in the assessment process. "It is another thing personally and under fire to have to direct the fighting while involved in the obscuring smoke of it" (114M). In the evaluation of emergency actions, especially those involving moral and practical considerations, Melville warns that "the might-have-been is but boggy ground to build on" (57B). In effect, there can be little correlation of thought between "the smug card players in the cabin" and "the responsibilities of the sleepless man on the bridge" (114M).

As the novel begins, R. W. Willett (1967) indicates that "the temporal context of the story is the era of the Napoleonic Wars and of the Nore mutiny, and it is against this background that Vere's conduct has to be judged. In essence, Willitt sees the historical situation as responsible for Vere's eventual obsession with mutiny which exposes his

human frailty amidst great prudence and intellect. Coupled with the fact that Vere is isolated from higher command due to the detachment of the Bellipotent on scouting duty, R. H. Fogle (1960) states that "the circumstances conspire to produce tragedy" (p. 196). Willett agrees in stating that "these circumstances, in conjunction with Claggart's machinations, Vere's temperament, and Billy's simplicity, produce the catastrophe" (1967, p. 370).

The impending, tragic catastrophe is not readily apparent at first because, as Melville notes, "in their general bearing and conduct the commissioned officers of a warship naturally take their tone from the commander, that is if he have that ascendancy of character that ought to be his" (60T). This is obviously a credit to Captain Vere's competence as a leader aboard the Bellipotent since "very little in the manner of the men and nothing obvious in the demeanor of the officers would have suggested to an ordinary observer that the Great Mutiny was a recent event" (59B). However, this situation was to deteriorate quickly, precipitated by the failure of the Bellipotent to capture a smaller French frigate and Captain Vere's agitated disappointment followed by Claggart's deferential approach in his accusation of Billy Budd to mutiny. "The climax begins in a supercharged atmosphere" (Browne, 1963, p. 332).

As Vere paced the quarterdeck absorbed in reflection of the frigate's escape, he noticed Claggart patiently waiting to speak and suddenly "a peculiar expression came over him" as "encountering a person who . . . first provokes a vaguely repellant taste" (91B). This feeling in Vere was compounded as Claggart couched his accusation of Billy in subtle implication. Becoming increasingly provoked, Vere vehemently demanded that Claggart be more direct.

Normally Vere controls this [irascibility] instantly, but the fact remains that Claggart's accusation against Billy Budd and his frequent references to mutiny are delivered at a time when Vere is emotionally agitated. (Willett, 1967, p. 370)

Ray Browne (1963) observes that the situation becomes increasingly tense. "Vere gets more taut, more nervous, less reliable. Claggart, on the contrary, remains always cold and calculation" (p. 332). As Claggart continues to weave his tale in a tone of retributive righteousness, he finally names Budd ironically referring to him as a "mantrap" under "the ruddy-tipped daisies" (94M). It is understandable, then, that "in his present unquiet position, this is an argument the Captain cannot ignore. Claggart has merely to enunciate his charge and his case is won" (Chase, 1948, p. 1216). However, Vere retorts, "'Do you come to me, Master-at-Arms, with so foggy a tale? . . . there is a yardarm-end for the false witness'" (95B). Captain Vere was obviously distrustful of Claggart's words

as R. H. Fogle (1960) notes: "Convinced of Claggart's falseness, Vere arranges a private confrontation, but with the object of testing the accuser than of trying the accused" (p. 197).

The Tragic Test

Having sent for Billy and ordering Claggart to follow, Captain Vere retired to his cabin in order to conduct his private test in as undemonstrative a manner as possible. With all three men now privately gathered in the Captain's quarters, Vere ordered, "'Now, Master-at-Arms, tell this man to his face what you told of him to me'" (98T). Hoping to expose the accuser, Vere "stood prepared to scrutinize the mutually confronting visages" (98T).

After the accusation was sadistically repeated, Billy stood transfixed in emotional shock. Vere exclaimed, "'Speak! Defend yourself!'" (98B) which only caused "a strange dumb gesturing and gurgling in Billy . . . intensifying it into a convulsed tongue-tie" (98B). Now realizing the nature of Billy's vocal impediment through a mental recollection of a similar defect in an old schoolmate, Vere put his hand on Billy to calm him. "'There is no hurry, my boy. Take your time, take your time.'" These words ironically "prompted yet more violent efforts at utterance . . . bringing to his face an expression which was as a crucifixion to behold" (99M).

In the next instant, Billy's arm shot out as he fatally struck Claggart on the forehead. "'Fated boy,' breathed Captain Vere in tone so low as to be almost a whisper, 'what have you done! But here, help me'" (99B). It was as if Captain Vere already knew that

the case no longer turned on the charge of mutiny, admittedly false. But striking and killing a superior, regardless of how pure the intention or how justified the act, was proscribed in the Articles of War as a capital offense." (Anderson, 1940, p. 345)

Furthermore, after the surgeon confirmed Claggart's death, Vere exclaimed, "'Struck dead by an angel of God! Yet the angel must hang!'" (101T) as if he had already made up his mind concerning Billy's fate.

Sanity or Insanity

As the Captain orders Claggart's body removed to an adjoining compartment, the surgeon is somewhat perplexed by the excited manner of his normally prudent Captain.

The surgeon is further disturbed by Vere's disposition of the body in a compartment of his cabin, as implying an unaccountable desire for secrecy . . . the possibility that he is wrong, or even that he is evil, is steadily before us. (Fogle, 1960, p. 198)

Ray Browne (1963) observes that "after Claggart is killed, Vere's mind and nerve crack" (p. 332). Browne adds that Vere tries to continue in the role of strict military disciplinarian but becomes more excited resulting in erratic actions. He would agree with Fogle in the respect

that "Vere has become, in fact, capable of great evil, of much destructiveness" (p. 332).

Briefly recollecting himself, Vere orders the surgeon, "Go now. I presently shall call a drumhead court. Tell the lieutenants what has happened, and tell Mr. Mordant" (meaning the captain of marines), "and charge them to keep the matter to themselves." (101M)

C. B. Ives (1962) notes that

When Vere told the surgeon of his determination to call a drumhead court-martial immediately, the surgeon thought Vere was "suddenly affected in his mind." He recalled Vere's "excited exclamations so at variance with his normal manner." (p. 35)

Ives concludes, "The 'sense of the urgency of the case' that 'overruled in Captain Vere every other consideration' did not possess his officers" (p. 35). R. H. Fogle (1960) in defense of Vere's urgency, suggests that "no time can be permitted for doubt or speculation by those who might mutiny; in his secrecy, Vere is defending an indispensable order" (p. 198).

In agreement with Fogle's defense of Vere's urgency of action, William Brasswell (1961) states that the chief reason for immediate action on Billy's case was "that an encounter with the enemy might take place at any time, and any weakness of discipline might result in defection that would mean defeat" (p. 101). Brasswell adds further that even though Vere would rather have confined Billy so as to submit his case later to the Admiral, "he feels it incumbent on him as an officer responsible for the efficiency of a fighting unit, to act on the case immediately" (p. 99).

Tragically, in Vere's intuitive comprehension of two such disparate characters as Claggart and Billy, Fogle concludes that Captain Vere belongs to a "different order of nature from common humanity, and he is of tragedy the ideal spectator as well as the agent" (p. 198).

As the surgeon communicated to the other officers and captain of marines what the Captain ordered, these men shared the surgeon's surprise, thinking that such a matter should be referred to higher authority. If one is to judge Vere's decision as coming from a man "unhinged," Melville warns that the incident was too close to earlier insurrections in occurrence and that the times demanded "from every English sea commander two qualities not readily interfusable--prudence and rigor" (103T). In view of the circumstances and the uniqueness of the case, to assume that Vere is acting abnormally might be erroneous.

Who in the rainbow can draw the line where the violet tint ends and the orange tint begins? Distinctly we see the difference of the colors, but where exactly does the one first blindingly enter into the other? So with sanity and insanity. (102M)

Even if the surgeon is medically correct in his tacit assessment of Vere's mental condition, there is little that can be done without more obvious proof. This is, indeed, a trying time for subordinates. "To argue his order to him would be insolence. To resist him would be mutiny" (102T). Thus, a drumhead court, composed of the

first lieutenant, the captain of the marines, and the sailing master, was summarily convened.

The Drumhead Court

"The court was held in the same cabin where the unfortunate affair had taken place" (105T) It should be noted that Captain Vere did not absent himself from its proceedings notwithstanding his required testimony. Rather than allow his appointed subordinates to carry out their duty objectively, Captain Vere remained after his testimony to ensure that the trial proceeded according to considerations which he posed during its course. Vere's intervention as virtual prosecutor is regarded as highly unusual and might be due to the unique circumstances of the case as well as his strong sense of duty to interject martial opinion. R. W. Willett (1967) notes that Vere's arguments, motivated by a fear of mutiny, "are not even a priori reasoning, but are rationalizations of a hasty decision: 'Yet the angel must hang!'" (p. 370). R. A. Duerksen (1968) adds that though Vere's court is highly unusual, it is not illegal and is in keeping with Vere's sense of commission. "Captain Vere may then be viewed as the ultimate in military decorum, a devoted and honored servant of his system--a system which cannot take into account the abstract idea of virtue" (p. 53). Melville also reminds us that "a true military officer is one in particular like a true monk. Not with more of self-abnegation

will the latter keep his vows of monastic obedience than the former his vows of allegiance to martial duty" (104T).

Thus, even as Billy responded to the Captain's opening testimony, Vere influenced the court in the presence of the defendant. At first, he seems sympathetic to Billy's obvious allegiance to the King and loyalty to him as Captain of the Bellipotent. "I believe you, my man" (106M). But near the end of the court's interrogation of Billy, Captain Vere stated that "irrespective of the provocation of the blow, a martial court must needs in the present case confine its attention to the blow's consequence" (107B). At this remark, Billy looked wistfully at his Captain and the court sensed that Vere's statement reflected "a prejudgment on the speaker's part" (108T). Vere pressed his point that this is not a matter for "psychologic theologians" to discuss and reiterated: "The prisoner's deed--with that alone we have to do" (108M). Following this last statement, Billy indicated that he had nothing more to say and was taken from the cabin.

The Arguments of Law

As the sentry exited with Billy, the members of the court "exchanged looks of troubled indecision, yet feeling that decide they must and without long delay" (109T). As the men earnestly consulted in very low tones, Captain

Vere paced in silence back and forth across the cabin. Presently, Vere came to stand before the three members of the court and scanned their faces with resolute impatience. It was obvious that "His Majesty's Navy mustered no more efficient officer of their grade than Starry Vere" (109B). Having detected a "troubled hesitancy" among the court members, Captain Vere firmly reminded them once again: "But for us here, acting not as casuists or moralists, it is a case practical, and under martial law practically to be dealt with" (110T). Here, R. A. Duerksen (1968) perceives a moral ambiguity in Vere which is difficult to comprehend. "He has the responsibility to pass judgment on Billy; yet he finds that the basic responsibility is not really his, but the Navy's or War's" (p. 55). Vere feels obligated to martial duty which is in obvious conflict with moral principles of compassion. "But mindful of paramount obligations, I strive against scruples that may tend to enervate decision" (110T). Duerksen ironically concludes that "Melville must have been bothered about the validity of Vere's mechanistic basis for choosing as his good that which he could so clearly depict as essentially evil" (p. 56). This is the very essence of the conflict between legal law and natural law.

Captain Vere attempts to resolve this conflict for the court as he reminds them of their true allegiance.

"But do these buttons that we wear attest that our allegiance is to Nature? No, to the King" (110M). This allegiance, Vere reasons, necessarily abrogates man's natural freedom. "We fight at command. If our judgments approve the war, that is but coincidence. So in other particulars" (110B). Vere's logical conclusion is that there be strict adherence to law in the court's decision. "Our vowed responsibility is in this: that however pitilessly that law may operate in any instance, we nevertheless adhere to it and administer it" (111T). Thus, William Brasswell (1961) notes that

when Vere tells the court that in administering the laws of His Majesty's Navy they are restricted to considering the act alone. . . the laws in effect in His Majesty's Navy are symbolically the universal laws of mankind no matter what his opinion. (p. 102)

C. R. Anderson (1940) reiterates Brasswell's observation as he comments on the obvious intent of Vere's words:

In deciding the fate of the young foretopman, the drumhead court was instructed by Captain Vere that the exigencies of naval discipline must take precedence over all humanitarian considerations. (p. 335)

Wendell Glick (1953) offers yet another interpretation of Vere's words at this point.

The ultimate allegiance of the individual, in other words, is not to an absolute moral code, interpreted by his conscience and enlivened by his sympathies, but to the utilitarian principle of social expedience. (p. 104)

R. H. Fogle (1960), who would agree with both Anderson and Glick, indicated as follows:

. . . But Vere is equally clear on the distinction between a natural and a man-of-war world. The killing of Claggart is divine justice, but on the Indomitable, it is the murder of a superior officer under wartime conditions. (p. 45).

The fact that the British are engaged in the Napoleonic Wars is a vital contingency to Vere's legalistic argument since he invokes the Articles of War. "Apart from its effect the blow itself is, according to the Articles of War, a capital crime" (111B). C. B. Ives notes that the Articles of War were a combination of enactments by both the Parliament and Admiralty in 1749. The specific regulation to which Vere alluded is as follows:

If any Officer, Mariner, soldier or other person in the Fleet, shall strike any of his Superior Officers . . . on any Pretense whatsoever, every such Person being convicted of any such offense, by the sentence of a Court Martial, shall suffer death
(Ives, 1962, p. 32)

In addition to the Articles of War, Captain Vere also states, "We proceed under the law of the Mutiny Act" (111B). Arguing the necessity of this law, Vere points out that the King's forces must be kept at acceptable levels regardless of the individual conscience of conscripts since the enemy does not make a distinction between the killing of an impressed seaman or a patriotic volunteer. Vere says war is concerned only with the appearance of things "and the Mutiny Act, War's child takes after the

father. Budd's intent or non-intent is nothing to the purpose" (112M). E. H. Rosenberry (1971) aptly comments on Vere's reliance on the military law of war:

Legality as music is a figure seemingly out of keeping with the harsh spirit of that "child of War," the Mutiny Act. Yet in a world in which mutiny is a serviceable metaphor for the moral and theological condition of man, an imposed order is the only kind that is possible, and the articles under which Captain Vere takes his authority are not radically different from those which Moses took his. With respect to the taking of life, neither the military nor the biblical statute goes beyond a general prohibition. (p. 53)

Captain Vere, indeed, has eloquently played the role of prosecutor, believing to be on firm ground under the aforementioned laws. He has also implored that the court no reason with compassion. "But the exceptional in the matter moves the hearts within you. But let not warm hearts betray heads that should be cool" (111T). He also requested that the court act quickly in arriving at its decisions since the "enemy may be sighted and an engagement result" (112M). In order to expedite the court's decision, Vere added that the verdict, despite the circumstances, must be clear-cut under the law. "We must do; and one of two things must we do--condemn or let go" (112M).

At the last statement, the sailing master ventured, "Can we not convict and yet mitigate the penalty?" (112M). In reply, Vere adamantly warned that existing law would not permit such a deviation. In another context, Vere argued to the court that a reduced penalty might have

adverse consequences among the crew which respects strict adherence to naval law and tradition. This very tradition precludes explanation of considerations surrounding a court's verdict. Besides, Vere stated, the men would not generally have the intelligence to comprehend such mitigating considerations. "No, to the people the foretopman's deed, however it be worded in the announcement, will be plain homicide committed in a flagrant act of mutiny" (112B). Vere also warned that the crew would ruminate and view a penalty less than death as a sign of weakness and fear among superiors, thus provoking new trouble. "Will they not revert to the recent outbreak at the Nore?" (112B). Adding that even Billy would understand the nature of such military necessity, Captain Vere concluded, "You see then, whither prompted by duty and the law, I steadfastly drive I feel as you do for this unfortunate boy" (113T). Though Vere appears ambivalent in this last statement, Phil Withim (1961) states that the core of Vere's argument is the compulsion of men bowing to legal necessity. This is the foundation of tradition which engenders unwavering dedication to martial duty and other forms of institutionalized behavior. This belief is reflected in Vere's words as follows: "With mankind," he would say, "forms, measured forms, are everything; . . ." (128T). In essence, "Vere is saying that men cannot think for themselves, that form and habit can control men

as if they were no more than beasts" (Withim, 1961, p. 84). Thus, Vere's arguments make it incumbent for the court members to arrive at the decision for which they were appointed.

Vere crossed the deck and "resumed his place by the sashed porthole, tacitly leaving the three to come to a decision" (113M). Melville reminds us that these were loyal, plain, and practical men. Vere had appealed to their pride in duty as naval officers to act in conformance with both the Articles of War and the Mutiny Act lest the consequences be similar to the outbreak at the *Nore*. This, Melville notes, was a situation analogous to the later incident aboard the *Somers* and made certain the guilty verdict "demanding prompt infliction of the penalty" (113B). Though the historical circumstances were different aboard the *Somers*, "the urgency felt, well-warranted or otherwise, was much the same" (114T). Thus, "Billy Budd was formally convicted and sentenced to be hung at the yardarm in the early morning watch, it being now night" (114M).

The Visitation

Captain Vere took it upon himself to communicate the court's verdict to the prisoner. "Beyond the communication of the sentence, what took place at this interview was never known" (114B). However, Melville uses this scene to portray the humanitarian side of Vere's character reflecting

"the passion sometimes latent under an exterior stoical or indifferent" (115M). The civilized man devoted to martial duty gives way momentarily to "what remains primeval in our formalized humanity" (115M). Within this more natural vein, Vere is symbolized as a father-figure and "may in the end have caught Billy to his heart, even as Abraham may have caught young Isaac on the brink of resolutely offering him up in obedience to the exacting behest" (115M).

R. H. Fogle (1960) interprets Vere as a paternal symbol as follows:

In executing his constitutional law, he himself stands outside it. Vere as well as Billy Budd must be the sacrifice, as is indicated by the private interview after the verdict, which associates the two as father and son, Abraham and Isaac (or God the Father and God the Son). . . . Vere's duty is to remain agonizing and to a degree equivocal, in the tragic jugglery of circumstances. (p. 202)

C. R. Anderson (1940) cuts through Fogle's symbolic interpretation and offers a more direct, though unique, thematic explanation. "Billy Budd, the foundling of obviously noble descent, it is intimated, was the natural son of Captain Edward Fairfax Vere, who was thus faced with the historic dilemma of choosing between patriotic duty and paternal love" (p. 345).

The senior lieutenant was the first man to see the Captain as he emerged from his private meeting with Billy. "The face he beheld, for the moment one expressive of the agony of the strong, was to that officer, though a man of fifty, a startling revelation" (115B). This is one of the

first indications of Vere's inner suffering while effecting his duty under martial law. "That the condemned one suffered less than he who mainly had effected the condemnation was apparently indicated by the former's exclamation in the scene soon perforce to be touched upon" (115B).

Shortly after Vere's meeting with Billy, all hands were assembled in the early evening hours. Due to the continued absence of both Claggart and Billy, the men anticipated that the Captain's announcement might be concerned with their master-at-arms and beloved foretopman. Surrounded by his wardroom officers, Captain Vere related in brief detail "that the master-at-arms was dead, that he who had killed him had been already tried by a summary court and condemned to death, and that the execution would take place in the early morning watch" (116B). In relating these facts, the word mutiny was not used and Vere refrained from

preachment as to the maintenance of discipline, thinking perhaps that under existing circumstances in the navy the consequence of violating discipline should be made to speak for itself. (117T)

The effect of Vere's words was one of shocking disbelief among the crew which remained in total silence for a moment after the pronouncements. "Their captain's announcement was listened to by the throng of standing sailors in a dumbness like that of a seated congregation of believers in hell listening to the clergyman's announcement of his Calvinistic text" (117T). As the men began to murmur among

themselves, the shrill boatswain's whistle reminded them of their appointed duties. "The word was given to about ship" (117M). In addition, the sentry guarding Billy was given strict orders that no one, except the chaplain, was to have communication with the prisoner. "And certain unobtrusive measures were taken absolutely to insure this point" (118 T).

The Execution

The beginning of the early morning watch was signalled by the ringing of eight bells aft. But on this day, another signal was sounded. "Instantly the silver whistles were heard summoning all hands to witness punishment" (122M). Attended by the Chaplain, Billy was brought up and stood under the mainyard, facing aft toward the quarter-deck. Vere was facing forward on the poop deck. "Just below him on the quarter-deck the marines in full equipment were drawn up much as at the scene of the promulgated sentence" (123T). As the rope was placed about Billy's neck, he exclaimed, "God bless Captain Vere!" (123M). Captain Vere received the words with suppressed emotion.

At the pronounced words and the spontaneous echo that voluminosly rebounded them, Captain Vere, either through stoic self-control or a sort of momentary paralysis induced by emotional shock, stood erectly rigid as a musket in the ship-armorer's rack. (123B)

Billy's words just prior to hanging are perceived as the height of irony by Joseph Schiffman (1950).

The first officer, sword under arm, awaited the customary reports of readiness from the sworded lieutenants in charge of each gun battery. The intention of this rather lengthy procedure was to disperse the crew and occupy time since the drumbeat had been ordered one hour earlier than usual for such an evolution. "That such variance from usage was authorized by an officer like Captain Vere, a martinet as some deemed him, was evidence of the necessity for unusual action implied in what he deemed to be temporarily the mood of his men" (127B).

Vere's Death

Melville prepares us for the eventual demise of Vere as he digresses momentarily on the rechristening of a French warship. It seems that the St. Louis line-of-battle ship was renamed the Athée (the Atheist) and Melville notes symbolically that this name, "While proclaiming the infidel audacity of the ruling power, was yet, though not so intended to be, the aptest name . . ." (129T) . On its return passage to the English Fleet, the Bellipotent engaged the Athée in battle.

Captain Vere was in the process of bringing the Bellipotent alongside for boarding when he was wounded by a musket ball. As Vere was carried below, the senior lieutenant assumed command. The French ship was successfully defeated and taken into the port of Gibraltar. There, Captain Vere was taken ashore with the rest of the wounded.

Vere lingers for some days, kept alive by the influence of a drug which, "soothing the physical frame, mysteriously operates on the subtler element in man" (129B). Shortly before death, "he was heard to murmur words inexplicable to his attendant: 'Billy Budd, Billy Budd'" (129B). Melville quickly adds that "these were not the accents of remorse" (129B) judging from what the attendant conveyed to the Bellipotent's senior officer of marines, "the most reluctant to condemn of the members of the drumhead court" (129B). According to Duerksen (1968), it would seem that the fatherly impulses in Vere did not, even in the end, triumph over military dedication.

Despite Vere's obvious allegiance to military duty, he falls symbolically short of those heroic qualities of an Admiral Nelson as Melville notes that Vere was unhappily cut off from the glories that would enshrine Nelson at the Nile and Trafalgar, "The spirit that 'spite its philosophic austerity may yet have indulged in the most secret of all passions, ambition, never attained to the fulness of fame" (129B).

Vere: A Further Analysis

Melville's final remarks concerning Vere's death indicate that the Captain falls short of the ideal hero projected through the historical personage of Admiral Nelson. Not only did Nelson help defeat the revolutionary ideas of the French but he was able to inspire crews which

other commanders had difficulty managing. According to R. W. Willett (1967), Vere is unable to emulate the Nelsonian ideal. He is "an illustration of Melville's contention that man, at any level below that of hero, is the victim of his own ambiguities and inconsistencies, and of history" (p. 370). With regard to this heroic ideal, Thomas Carlyle (1841) suggests that "a man is right and invincible, virtuous . . . when he joins himself to the great deep Law of the World, in spite of all superficial laws, temporary appearances, profit-and-loss calculations" (p. 51). Carlyle further asserts that "every Great Man . . . is by the nature of him a son of Order, not of Disorder . . . He is the missionary of Order. Is not all work of man in the world a making of order?" (p. 185). In relation to Carlyle's definition and Melville's ideal, Willett suggests the following:

In other ways, too, Vere is the negation of Carlyle's and Melville's "Great Man." He lacks the spontaneity that characterizes Carlyle's hero, being rather a man of prudence, the naval counterpart of the Benthamite utilitarians who evoke the scorn of both writers. . . . Vere partakes of the work of man as defined by Carlyle, but cannot impose order through the exhibition of a heroic personality. This is his tragedy and by implication, the world's. (p. 372)

In a sense, then, Willett perceives Nelson as the embodiment of Melville's lifelong concern with order. In Carlyle's view, Nelson is "practically the summary for us of all the various figures of Heroism; Priest, Teacher . . . to command over us . . . to tell us for the day and hour

what we are to do" (p. 178). In summation, Willett notes:

In Billy Budd, Sailor, Vere, another stern disciplinarian, is faced with a dilemma which crystalizes the claims of the heart for justice and of the mind for social order; but he is too driven to break the law, for he lacks the personal resources and versatile gifts that single out the Jack Chases and Lord Nelsons of the World. (p. 375)

Vere in Retrospect

Vere is essentially the man caught in the middle of a dilemma as well as the character symbolically between the extremes of Billy and Claggart. One must criticize Vere within the contingent circumstances and the uniqueness of the case before the court.

In a legal view the apparent victim of the tragedy was he who had sought to victimize a man blameless; and the indisputable deed of the latter, navally regarded, constituted the most heinous of military crimes. . . . The essential right and wrong involved in the matter, the clearer that might be, so much the worse for the responsibility of a loyal sea commander, inasmuch as he was not authorized to determine the matter on that primitive basis. (103T)

According to Wendell Glick (1953), Melville chose Captain "Starry" Vere as his raisonneur, a man who was clear-headed and who possessed a broad enough base of human experience to enable him to weigh the most difficult of alternatives, choosing rationally between them. The choice which Captain Vere had to make involved more than a simple distinction between black and white. Rather, "it was a choice between two standards of human behavior, to each of which men owed unquestioning loyalty" (p. 104). Glick

adds that the Captain's decision was also Melville's in that "Melville felt no disposition in the waning years of his life to trifle with reality and call the process truth-seeking" (p. 104).

W. Y. Tindall (1971) would agree with Glick's assessment that Vere's decision was one that defied easy resolution. The choice involves the entire, sensitive adult being of Vere's character. "Agony shows on his face as he emerges from his interview with Billy, and a final exclamation shows how deeply he is stirred" (p. 35). Tindall sees Vere's decision based on a choice between military and natural moral codes. The first code is obvious and well defined, symbolic of Vere's "measured forms." The second reflects the more natural code of the "noble savage" in which Melville was interested. The Captain's conflict "is between the balanced claims of justice and equity, order and confusion, law and grace, reason and feeling, or, as Melville puts it, 'military duty' and 'moral scruple'" (Tindall, p. 35). Symbolically, it is obvious, in R. H. Fogle's estimation, to which code Vere adheres. "He is certainly used as a symbol for order: nicknamed 'Starry' Vere, he represents the steadfast, well-regulated system of the heavens, the ideal conservatism" (p. 192).

Another interesting interpretation of Vere is the one offered by E. L. G. Watson (1933) in an allusion to Pontius Pilate.

Like Pilate, he condemns the just man to a shameful death, knowing him to be innocent, but unlike Pilate, he does not wash his hands, but manfully assumes the full responsibility, and in such a way as to take half, if not more than half, of the bitterness of the execution upon himself. (pp. 323-324)

Watson further suggests that there is a spiritual understanding between Billy and Captain Vere as expressed in the visitation chapter, despite their separate existences. John Seelye (1971) agrees with Watson in the interpretation of Vere as Pilate, but perceives the portrayal within a more sympathetic context. In his analogy, Seelye uses a comparison between a lawyer and a scrivener (copier or writer).

Confronted by the purity of innocence and the purity of malevolence, Vere ignores absolute considerations for relative ones, while yet appealing to absolute (though temporal) order. Like the lawyer, he plays a sorrowing Pilate, in whom is found a matching of both head and heart, rational action and human sympathies. Like the lawyer, the Captain owes his allegiance to the temporal world, while Billy--like the scrivener--seems to have descended from other realms. (p. 21)

Vere's strict adherence to the measured forms of temporal law has often been criticized to be the catalyst in sealing Billy's doom. During the drumhead court, Vere is the chief agent of the law. C. A. Reich (1971) notes that several critics believe "Vere is everything from a conscientious but rigid military disciplinarian to an unprincipled autocrat" (p. 57). He adds that the drumhead court was both illegal and unnecessary. Furthermore, Reich concludes that Vere's misrepresentation of the spirit of the law reveals a Captain bent on expediency at all

costs which might confirm the temporary insanity suggested by the surgeon. Thus, rather than a protagonist of the law, Vere is simply a man faced with a choice in an awful dilemma. Vere goes with the security of "measured forms" because "he is a man in and of society, because he occupies a position of duty and responsibility, he chooses the law, however inadequate it may be" (p. 60).

As has been noted earlier, two of the laws which Vere uses in his argument to the court are the Articles of War and the Mutiny Act. C. B. Ives (1962) states that, with regard to the Mutiny Act, "the body of laws falling under that title applied only to the army and were without significance to his situation" (p. 32). In fact, as Vere often reminded the court, Billy was being tried for the act of striking a superior officer during war which was punishable by death (regardless of consequence to the victim). Under the Articles of War, Ives points out that there is nothing in the Articles which advocates immediate execution if the accused is convicted. Also, a conviction in a matter of such gravity could only be decided by a court martial "by which term was meant a general court-martial called by the commander of a detachment, a squadron, or a fleet" (p. 33). The drumhead court aboard the Bellipotent was the equivalent of a summary court-martial for which there is no provision in the Articles of War of 1749 for Billy's offense.

Ives qualifies his analysis of Vere's decision by noting that in the event of an actual mutiny or as a matter of absolute necessity, a captain could disregard the Articles, and hang mutineers. However, Billy was not a mutineer and was not hanged for mutiny. "Mutiny required a 'combination of two or more persons' and besides, Vere declared emphatically, 'I believe you my man,' when Billy protested his loyalty" (p. 33).

The positional power of a captain of a man-of-war, Ives notes, was practically god-like enabling a commander to exercise his disciplinary whims with little expectation of reproof. Vere draws upon the Articles of War and yet refuses to be controlled by them. Noting that the Articles of War did not allow a mitigation of the death penalty, Vere also rejects the alternative of referring the case to the admiral which was a provision in this matter. Phil Withim (1961) asserts that the court did not guide Vere, rather, he guided them. "Apparently, all Vere wants is to have on record a trial agreeing with his decision" (Withim, p. 82). It seems that Vere was deliberately trying to make the court's decision difficult on the side of human compassion through a sense of duty to a legal code which he, himself, seems to ironically violate.

He cited the Articles of War (which did not, in fact, support him), the Mutiny Act (which did not apply), the practicalities of the situation (which to every other judgment called for delay at least), and the necessity, as he said, of doing what no one wanted to

do, of suppressing Nature, of injuring the heart--
 "the feminine" in man--even of violating the conscience
 In all this, Vere was guided not by the mind,
 as he professed, but by the heart turning against
 itself. (Ives, 1962, p. 37)

In agreement with Ives, R. H. Fogle (1960) observes
 that the situation has set man apart from nature. Law
 has become distorted through human perversity. In
 seeming to maintain the law, Vere violates it. Fogle
 maintains that

Vere is the priest celebrant of a mysterious ceremonial
 sacrifice, which he must perform with decorum in
 spite of imperfect assistants and a confused and
 turbulent congregation, the crew of the Indomitable.
 (p. 203)

Wendell Glick (1953) concurs with Fogle in that Vere was
 determined to maintain the ordered functioning of his ship
 through a willingness "to sacrifice even the ideal of
 justice when the absolute necessity arose" (p. 105).

Richard Chase (1948) adds that Vere is defending a law of
 the man-of-war world and that his decision "that a human
 life must be sacrificed to this law is impeccable,
 irrefutable, and fully conscious of the pathetic irony
 of the situation" (p. 1215). Chase also notes that even
 though Vere's name indicates that he is Man [vir], he is
civilized Man. In this respect, Vere is not unlike
 Claggart as Phil Withim states: "He like Claggart, is
 civilized; he, like Claggart, uses reason to a bad end"
 (1961, p. 85).

The sacrificial means of preserving Vere's idea of an ordered society was obviously viewed as a practical necessity in his mind. Wendell Glick (1953) believes that Vere realized the necessity of abridging many private rights in maintaining order was the only way to prevent anarchy and chaos which would inevitably sacrifice every human right. "The ideal society which abridged no prerogatives and guaranteed all private liberties was, in the considered opinion of Captain Vere, a figment of the imagination" (p. 106). However, R. A. Duerksen (1968) points out that "Vere knows that the system, on the basis of which he passes judgment, is ultimately false" (p. 63). Though a rational man, Vere will not think beyond his "measured forms." The excerpt from a naval chronicle which Melville quotes near the end of the novel reveals, in ironic form, the perpetuation of the system through an inversion of the truth. "Yet Captain Vere, as has Billy Budd before him, goes to his death without any questioning of the system whose very perpetuation so largely demands a distortion of truth" (p. 64).

With regard to the maintenance of an ordered system at the expense of individualism, it would seem that Melville agreed with Vere. The verdict implies that the claims of civilized man might, in Wendell Glick's interpretation, constitute a higher ethic than the personal justice of natural man as defined by Emerson and

Thoreau.

But he agreed with the Captain that justice to the individual is not the ultimate loyalty in a complex culture; the stability of the culture has the higher claim, and when the two conflict, justice to the individual must be abrogated to keep the order of society intact. (Glick, 1953, p. 104)

It should be noted, however, that Captain Vere's adherence to his convictions required a great deal of personal sacrifice. William Brasswell (1961) states that "Vere is portrayed as suffering more than Billy" (p. 101). Brasswell adds that Vere tends to believe the forms of maintaining order are, by necessity, dearer than the life of any single individual. In a sense, Vere "sets imperfect order above anarchic disorder" (p. 101). Commenting on the nature of ordered forms, John Seelye (1971) contends that even though "political forms are ultimately illusory, in that they belie the eternal flux of life, they are the only bulwark civilized man has against the chaos that is the opposite extreme" (p. 24). However, Seelye warns that mindless adherence to forms can lead to inhumane formalism advocating an inflexibility of what is "right." According to Seelye, strict formalism of law seems to impose a dead balance between extremes which seems "to halt the natural, pendulum-like movement by which nature manifests its own balance" (p. 24). Captain Vere is caught up in the circumstance of time and fate and tries to strike a dead

balance through his "measured forms." As Seelye concludes, "his execution of Billy, though perfectly just, is perfectly unnatural" (p. 24). Throughout the trial, Vere stressed the irrelevance of natural ethics in reminding the court that they are to judge the consequence and not the intent of Billy's actions. Instinctive feelings have no place in war which only looks to the "frontage" and "appearance" of things. Obviously, then, Vere's allegiance is always to the temporal law of the King (the system) and away from the moral justice of natural law. Seelye sums up Vere's decision as follows: "Vere is neither for nor against Billy; he is for the dead balance of martial order, the preservation of forms against the threat of flux" (p. 25).

The balance which Vere pursues legally may also be symbolic of his position, in terms of character, between Billy and Claggart. Ray B. Browne (1963) observes that some critics "generally agree that in the struggle between Claggart and Budd, Captain Vere stands ground between the two, forced by the power of evil to destroy that which he loves" (p. 321). This irony has been noted by aforementioned instances of Vere's almost fatherly relationship to Billy, especially during the visitation scene, in contrast with his martial stoicism during the trial and execution. The intellect of mind to assure order aboard the micro-cosmic society of the Bellipotent was able to suppress the natural instincts of the heart, and a bit too quickly.

The fact that Vere so hastily pursued his course of action has been a crucial point of conjecture among critics. R. H. Fogle (1960) sees Vere as a symbolic agent of tyranny, violating the very codes by which he is bound. Vere's arbitrariness during the court-martial disturbs his officers and Fogle sees the execution as an irregular event carried out with masterly forethought. "He could have waited--it would have been more customary to wait--upon the judgment of his admiral, but he hurries Billy to his death" (p. 192). C. B. Ives (1962) adds: "A more normal captain would never have been so eager to hang Billy Budd, and a more practical one might not have hanged him at all, in view of his great value to the morale and efficiency of the crew" (p. 39). Ives goes on to suggest that the "priestly motive" alluded to earlier might simply be a manifestation of Vere's temporary insanity as he deceptively interprets the Articles of War. It is ironic, that he should engineer Billy's death so expeditiously, fearing reprisal in the form of mutiny when Billy seemed to be such an asset to morale. Recent mutinies in other fleet units certainly contributed to Vere's paranoia, causing him to act quickly. In this regard, C. A. Reich (1971) believes that even though Vere had the option of holding the case for the admiral, he was directed by his unswerving allegiance to martial duty as

well as the nature of his circumstance. "The urgency of preventing any slumbering embers of the Nore Mutiny from igniting among the crew overruled for him every other consideration" (p. 57). Adding that the danger of insurrection did not really exist, Reich agrees with Melville's warning noted earlier. "But are we entitled to judge the actions of a military commander in wartime by hindsight?" (Reich, p. 57). Alice Chandler (1967) believes that all critical judgment of Vere, in the last analysis, is simply a matter of opinion.

Whether Vere is God or Pilate, the good commander or a tyrannous autocrat, the benevolent father or an Oedipal archetype--or some ironic and ambiguous compound of all these--is very much a matter of opinion. (p. 86)

However, in terms of character, Brasswell (1961) believes Melville intended Vere to be looked upon sympathetically as a man caught in a moral dilemma requiring tragic circumstances. R. H. Fogle (1960) believes that Vere was a portrayal of Melville's own isolation as the Captain preaches the necessity of tragedy to his reluctant drumhead court. Vere understands the limitations of his formalized, martial code and, as Fogle notes, "clearly distinguishes between its empirical measures and the absolute values of divine justice" (p. 199). Symbolically, it is fitting that Vere dies fighting the Atheist, holding fast to his reasoned, martial code. In some contradiction to Fogle's assertion of Vere as a spokesman

for Melville, Ray B. Browne (1963) contends Vere's acceptance of forms might be Melville's resistance. "Instead of being the voice of the author, Vere is in fact Melville's antagonist" (p. 321). Finally, as a last comment on Vere's character, the following quotation is offered to sum up the microcosm of Vere which might pervade the macrocosm of universal man:

A review of these aspects of Vere's nature justifies the conclusion that the Captain's sudden decision to hang Billy was a sacrificial gesture, born of a kind of self-punishment that had become habitual in Vere's life, the sacrifice and denial that are involved in man's search for the comprehension of fact that destroys fancy, in man's search for the experience that gives him truth but robs him of innocence. All of his life Vere had devoted himself abnormally to this emphasis, killing repeatedly the affections that manifested themselves only in moments of dreaminess, moments that embarrassed and irritated him when they were discovered. Billy represented all of this nearly-destroyed side of him--the affectionate side, the heart, the feminine--and stirred him to such a pitch that when the innocent sailor delivered the death blow to Claggart, Vere's suppressed love for Billy and for all that Billy stood for rose suddenly to the surface. However, Vere's self-disciplinary passion for the harshness of fact-searching and heart-denial rose equally fast and dominated his will as it always had done. (p. 38)

Captain Vere and Fiedler's Contingency Model

Chapter IV delineated a combination of situational variables aboard the Bellipotent which are embodied in Octant I of Fiedler's Model. Since Vere has been characterized as a very task-motivated (low LPC) leader, the contingency of his effectiveness is quite favorable for this type of leader in an Octant I situation. Though there

is a compassionate side to Vere's character which is an important attribute of a relationship-motivated leader (high LPC), his primary allegiance is to temporal law and martial duty in the accomplishment of his wartime mission. Captain Vere, therefore, acts quite predictably since more natural and considerate concerns must become secondary to his unwavering allegiance to duty.

For a few tense moments in the novel, especially during the execution of Billy, it would appear that the factor of "leader-member relationships" sufficiently deteriorated to the point of "poor." Other factors being constant, this would move the situation into Octant V of Fiedler's Model. In this octant, a relationship-motivated leader is considered to be more effective which might seem contradictory to Fiedler's theory of contingency. However, it should be noted that Melville took pains to portray Vere as a commander who, like Nelson, elicited great respect from his men due to his competence and sense of fairness. This inspirational quality, though certainly unheroic during the short period covering Billy's trial and execution, would probably be tarnished but not destroyed in the minds of the crew who were conditioned by "measured forms" and the absolute power of a man-of-war captain.

There is also a case, based on the evidence presented in this chapter, that the uniqueness of Billy's act within existing circumstances might have caused a rather

"unstructured" dilemma within a highly structured warship regulated by martial law. Coupled with a momentary deterioration in "leader-member relations," there is evidence that our task-motivated leader was also effective in an Octant VII situation in Fiedler's Model. Whether or not Vere was morally correct is not the question in terms of effectiveness. The result which Vere engineered through the variable situation reflected in Octants V and VII eventually led to his determined reinstatement of the situation depicted in Octant I. After all, this was the efficient equilibrium which had existed at the beginning of the story before Billy came aboard.

One may conclude then, that Vere acted predictably according to Fiedler's Model within the evidence presented. While there are moments when the situation possibly develops into Octant V or VII, Vere's suppression of any considerations which a relationship-motivated leader might display, reflects his obsession to maintain the smooth-functioning order aboard the Bellipotent in conformance with the situational factors of Octant I in Fiedler's Model.

CHAPTER VIII

HERMAN WOUK AND THE CAINE MUTINY: A LOOK AT
THE MAN AND HIS NOVEL

As indicated by the chapter on Melville and Billy Budd, one must become somewhat knowledgeable about an author prior to fully comprehending an analysis of his work, especially those factors which might have had an influential bearing on the work itself. Just as Melville's maritime background lends credibility and realism to the fictional Billy Budd, the same is true of Herman Wouk's experiences at sea which produced the highly realistic novel, The Caine Mutiny. Thus, a chronology of Wouk's life will first be outlined, followed by comments on specific events to confirm the authenticity of occurrences aboard the Caine based on the credentials of Wouk's life experiences.

Brief Chronology of Wouk's Life

May 27, 1916. Born in New York, N. Y.; the son of Abraham Isaac Wouk (industrialist in power-laundry field who started as an immigrant laundry laborer at \$3 a week) and Esther (Levine) Wouk. Grew up in the Bronx.

1934. Graduated from Columbia University with a B.A. in Philosophy and Comparative Literature.

- 1934-1935. Gagman for radio comedians in New York City.
- 1936-1941. Script writer for the late Fred Allen.
1941. U. S. Treasury Department, dollar-a-year-man, writing and producing radio plays to promote war bond sales.
1942. Graduated from Midshipman School at Columbia in the top 20 of a class of over 500. Wrote "The Responsibilities of Naval Leadership" in verse and in the meter of a French ballade.
- 1942-1944. Assigned to the destroyer-minesweeper Zane. Swept mines in the Pacific off the Marshalls, Kwajalein, Eniwetok, the Marianas, Guam, Saipan, and Tinian. Served as the Zane's communications officer, first lieutenant (deck officer), and navigator. Began writing his first novel, Aurora Dawn.
- 1944-1946. Assigned to another minesweeper, the Southard, and saw action in six Pacific campaigns. Eventually became executive officer and was later recommended to become captain of the Southard, but it was wrecked in a typhoon at Okinawa. Awarded four campaign stars and a Commendation Ribbon. Continued to serve in Reserves after the war.
1944. Met Betty Brown in San Pedro, California while Zane in port for repairs. She had graduated Phi Beta Kappa from the University of Southern California and was serving as a supervisor of filing clerks. Though a Protestant, Betty

- studied Judaism and converted a year later on her 25th birthday (Hebrew name of Sarah Batya).
- December 9, 1945. Married Betty Brown. They had three children: Abraham Isaac (deceased), Nathaniel, and Joseph.
1946. Aurora Dawn published (Book-of-the-Month Club selection).
1948. City Boy published (Reader's Digest Condensed Book Club selection, Family Book Club selection).
1949. Wrote Hurricane, a screenplay for 20th Century Fox. Another play, The Traitor, produced on Broadway.
1951. The Caine Mutiny published (Reader's Digest Condensed Book Club selection, Literary Guild alternate selection).
1952. Won the Columbia University Medal of Excellence and the Pulitzer Prize for Fiction.
1954. The Caine Mutiny Court-Martial produced on Broadway.
1955. Marjorie Morningstar published (Reader's Digest Condensed Book Club selection, Book-of-the-Month Club selection). Received L.H.D. from Yeshiva University.
1957. Nature's Way, a comedy produced on Broadway.
1959. This Is My God published (Reader's Digest Condensed Book Club selection, Book-of-the-Month Club selection).
1962. Youngblood Hawke published (Reader's Digest Condensed Book Club selection, Book-of-the-Month Club selection).
1965. Don't Stop the Carnival published (Book-of-the-Month Club selection).

1968. Lomokome Papers published.

Today. Herman Wouk presently resides with his wife in an apartment in Manhattan, occasionally retreating to an ocean-front home he owns on Fire Island, N. Y.

(Sources: Contemporary Authors, Vols. 5-8, 1969, 1277-78; the book section of Time Magazine, September 5, 1955.)

Wouk and the Realism of Traditional Values

Like Melville, Herman Wouk's life consisted of several years at sea, providing the experience upon which future novels would be written. He began writing the manuscript for Aurora Dawn (1946) while aboard the Zane in the Pacific during World War II. His most famous novel, The Caine Mutiny (1951), was based on Wouk's observations during the war though it is not considered an autobiographical work. Winning him the Pulitzer Prize in 1952, The Caine Mutiny was immensely popular, according to some impressive facts and figures in a 1955 issue of Time summarized as follows: It sold more than three million copies and it is estimated that over 25 million people were exposed to the novel in some way. Selling more than two million copies in Britain, the novel was translated into more than 17 languages. The play, The Caine Mutiny Court-Martial, lasted two seasons on Broadway and grossed about \$2,500,000. The movie, starring Humphrey Bogart as Queeg, grossed over 12 million dollars and continues to be shown (Time, p. 48). According to W. S.

Hudson, (1969) The Caine Mutiny has also often been recommended by the Naval Officer Candidate School as collateral reading. It would seem, then, that even though The Caine Mutiny was written as a work of fiction, its foundation is one of realism which might account for its immense popularity among readers in postwar America. "Reviewers compared it favorably with Mutiny on the Bounty and Mister Roberts; with Conrad's Lord Jim and Melville's Billy Budd; and with almost all the novels of C. S. Forester" (McLean, 1953, p. 224). As with Melville, one must have some knowledge of the author's biography beyond the aforementioned chronology in order to understand the essential themes of the works produced.

Both of Wouk's parents were Jewish immigrants from Minsk, Russia. After his arrival in New York, Wouk's father began work by washing clothes in a basement and eventually became president of one of New York's largest power laundries. Though City Boy (1949) was a nostalgic reflection of Wouk's early boyhood days in the Bronx, he actually got off to a rather depressing start. "He was the neighborhood fat boy, forever guzzling chocolate milkshakes" (Time, 1955, p. 50). Herman remembers being "clobbered" in street fights but also recounts the influential consolations of a strong family life and an early interest in books. "As soon as he learned to read, he would sprawl on the floor for hours with a tattered old dictionary, glorying in big words like anthropomorphism" (Time, 1955, p. 50).

Considered to be rather lazy in school, Wouk made good grades simply by cramming before exams. Herman seemed to become more disciplined in his studies when his grandfather, Rabbi Mendel Leib Levine, arrived in the United States from Russia and took over Wouk's religious training. Rabbi Levine "is one of the two men who, Wouk believes, have most influenced his life (the other: Columbia's late Philosopher Irwin Edman)" (Time, 1955, p. 50).

While attending Columbia University, Wouk majored in comparative literature (like Willie Keith in The Caine Mutiny) and philosophy (like Noel Airman in Marjorie Morningstar). He also worked for the college newspaper, edited a campus humor magazine, and wrote two collegiate theater plays. Referring to his college days as a "sophomoric enlightenment," Wouk began to stray from traditional religious practices as he discovered the great works of the eighteenth and nineteenth centuries. However, he later returned to his orthodox devotion to the Jewish faith. "I felt there's a wealth in Jewish tradition, a great inheritance. I'd be a jerk not to take advantage of it" (Time, 1955, p. 50).

Upon graduation from Columbia, Wouk announced his intention to be a writer despite the objections of his father who wanted him to write advertisements for the Fox Square Laundry and his mother who wanted him to become a lawyer. For several years, Herman was a "gag" writer for radio comedies and a script writer for Fred Allen. He was making \$200 a

week during the Depression, dating showgirls, and living in a luxury apartment in Manhattan. When Pearl Harbor was attacked, Wouk joined the Navy through midshipman school at Columbia University.

After graduating in the top 20 of a class of over 500 midshipmen, Herman Wouk experienced a varied amount of sea duty during the war years as delineated in the chronology. This time in his life provided the background of realism for The Caine Mutiny and made an impression on Wouk personally. "In the Navy, I found out more than I ever had about people and about the United States. I had always been a word boy, and suddenly, I had to cope with the peculiar, marvelous world of the machine" (Time, Sept. 5, 1955, p. 51). W. S. Hudson (1969) reiterates Wouk's dedication to the Navy even after the war years. "Wouk has always had the highest esteem for the U. S. Navy; even after the war was over, he retained his commission, became a member of the Reserve Officers' Naval Services, and continued to serve on several training missions of various kinds as an officer" (p. 177).

Lydia McLean (1953) also notes that the Navy fully cooperated with Wouk in his research which often required use of naval facilities and the interviewing of naval personnel. The navy was cognizant of the title and manuscript before The Caine Mutiny was published but did not request editing privileges. In fact, "the day The Caine

Mutiny was awarded the Pulitzer Prize, Wouk got a telegram which read 'Congratulations on a high honour well earned' signed by Admiral Robert F. Hickey for the Secretary of the Navy" (p. 223).

Having looked briefly at Herman Wouk's background, one can easily see why Frederic Carpenter (1956) concludes that "both in philosophy and literature, Wouk has always been a traditional realist" (p. 212). W. S. Hudson (1969) reiterates Carpenter's conclusion in terms of Wouk's themes of conflict between generations, the individual and society, and the conflict between traditional and modern values. "In most cases, the conflict is resolved in a reaffirmation of traditional values, a submission to the wisdom of older generations and of authority, and a reacceptance of individual responsibility" (p. 3). Hudson states that this conflict in Wouk's novels is depicted as tragedy in its resolution if there is a lack of self-discipline and moral preparation within characters.

Thus, Maxwell Geisman (1955) sees The Caine Mutiny as a reaffirmation of Wouk's belief in the traditional values of "(1) decency in language as well as deeds, (2) honor, (3) discipline, (4) authority, and (5) hallowed institutions like the U. S. Navy" (p. 399). Hudson (1969) adds to this perception the idea that The Caine Mutiny is Wouk's way of looking at the insanity and tragedy of the great war through the sanity of laughter. In essence, Wouk attempted

to write a tremendous comic epic, the epic stumblings of the poor old fumbling Caine, through the vast events of the war and the three civilians who came aboard and never lost their civilian outlook, the Mutiny as the great protest of common sense against the idiocy of war and militarism. (p. 184)

Hudson sees Wouk's sad, comic conclusion of the Mutiny as an error, considered a wrong act until all men become sane enough to loathe war.

Surrounding the insights of war and ideological lessons of the Mutiny, Frederic Carpenter (1956) believes that the more specific conflict is between individual liberty and totalitarian authority in time of war. In fact, Carpenter notes that Lt. Tom Keefer, a major character in the novel, calls attention to the parallel of the Caine's situation with that of Melville's Billy Budd.

Without ever putting the question explicitly, it asks whether the civil rights of individuals must always be abrogated in time of war--whether the "mutinous" Billy Budds must always be condemned to death. (p. 213)

In a sense, Carpenter states that war makes the ideal of individual liberty an illusion as intended in the Declaration of Independence and the Bill of Rights.

In a further comparison with Melville's Billy Budd, Carpenter (1956) notes that Melville perceived the world's times of peace only as truces. Thus, even though Billy had been conscripted against his will and had intended no mutiny, Melville had to condemn him to death.

The Caine Mutiny now alters the conditions somewhat, contrasting an unjust Captain Queeg with a just Captain Vere. But the mutineers of the Caine would also be

condemned except for Queeg's neurotic self-incrimination. In time of war, martial law must prevail, even though the captain be cruel and incompetent. (p. 213)

This view is re-emphasized by Hudson (1969) as he asserts that The Caine Mutiny accomplished what Wouk intended in terms of reaffirming values of tradition through literary realism.

It will also be admitted that Herman Wouk accomplished what he set out to do in this novel--to express his thanks to the Navy for what it had done for him and for his country, and to make the point that military authority is a worthwhile tradition and that those who exercise it deserve their nation's gratitude. (p. 178)

Brief Synopsis of The Caine Mutiny

In December of 1942, Willie Keith, a Princeton graduate, enters the Navy after midshipman school. His assignment is aboard the minesweeper Caine stationed in the South Pacific under the command of Captain de Vriess. Despite the fact that the Caine has a reputation of accomplishing her missions, Willie is shocked at the filthy appearance of the ship and the surly conduct of the crew. Very shortly, Captain de Vriess is rotated to shore duty and is replaced by Captain Philip F. Queeg. Initially, Keith believes that Queeg is good for the Caine because things are being done "by the book." However, the new "skipper" is obsessed with a monomania for meticulousness, a driving ambition, and a propensity to "bend" regulations in the issuance of unwarranted orders. The effect on the crew and officers is devastating

in terms of morale which leads to a situation of general paranoia and emotional instability throughout the ship.

LTJG Tom Keefer, an intellectual, convinces the relatively uneducated executive officer, Lt. Steve Maryk, that Queeg is mentally "unfit" for command. Maryk begins to keep a detailed, private log of incidents which substantiate Keefer's psychological analysis. After a few months, the Caine becomes caught in a terrible typhoon and Queeg seems to panic, becoming nearly speechless while insisting that the Caine maintain present course as last dictated by the tactical commander. Maryk invokes Article 184 as he relieves Queeg of his command. Taking the deck, Maryk orders a reversal of course into the wind to avert capsizing.

When the ship returns to port, Queeg has Maryk put on report for mutiny and names the rest of the officers as accomplices. Through the shrewdness of his lawyer, Lt. Barney Greenwald, Maryk is acquitted and Queeg is relieved of command and given a desk job. However, Maryk's career is abruptly halted as he is denied a regular commission.

Willie returns to the Caine as executive officer under Keefer who is made the new captain. Keefer proves to be a coward by abandoning ship unnecessarily after the Caine takes a direct hit. Willie saves the ship and becomes commanding officer when Keefer is discharged. He takes the Caine to the yards for decommissioning and, as World War II

ends, decides to leave the Navy. Willie wants to marry May Wynn, a nightclub singer with whom he has been involved during the war, and applies to graduate school in order to prepare for a university teaching career.

Foreword to Chapters IX, X, and XI

Though the characters of Keith, Maryk, and Keefer represent various important leadership types, the focus of inferential analysis will be on Queeg, primarily due to his absolute positional authority aboard the Caine. All leadership analysis must necessarily emanate from his actions (or inactions) and secondary characters will be analyzed relative to the contingencies which developed over a period of fifteen months aboard the Caine.

It was not a mutiny in the old-time sense, of course, with flashing of cutlasses, a captain in chains, and desperate sailors turning outlaws. After all, it happened in 1944 in the United States Navy.
(Preface to The Caine Mutiny)*

*All quotations in reference to Wouk's The Caine Mutiny will be cited only with a page number followed by (T) top, (M) middle, or (B) bottom, indicating exact location in the novel. The text used was published by Doubleday & Company, Inc., Garden City, New York, 1954.

From the Navy Regulations

Article 184.

Unusual
Circum-
stances.

It is conceivable that most unusual and extraordinary circumstances may arise in which the relief from duty of a commanding officer by a subordinate becomes necessary, either by placing him under arrest or on the sick list; but such action shall never be taken without the approval of the Navy Department or other appropriate higher authority, except when reference to such higher authority is undoubtedly impracticable because of the delay involved or for other clearly obvious reason. Such reference must set forth all facts in the case, and the reasons for the recommendation, with particular regard to the degree of urgency involved.

Article 185

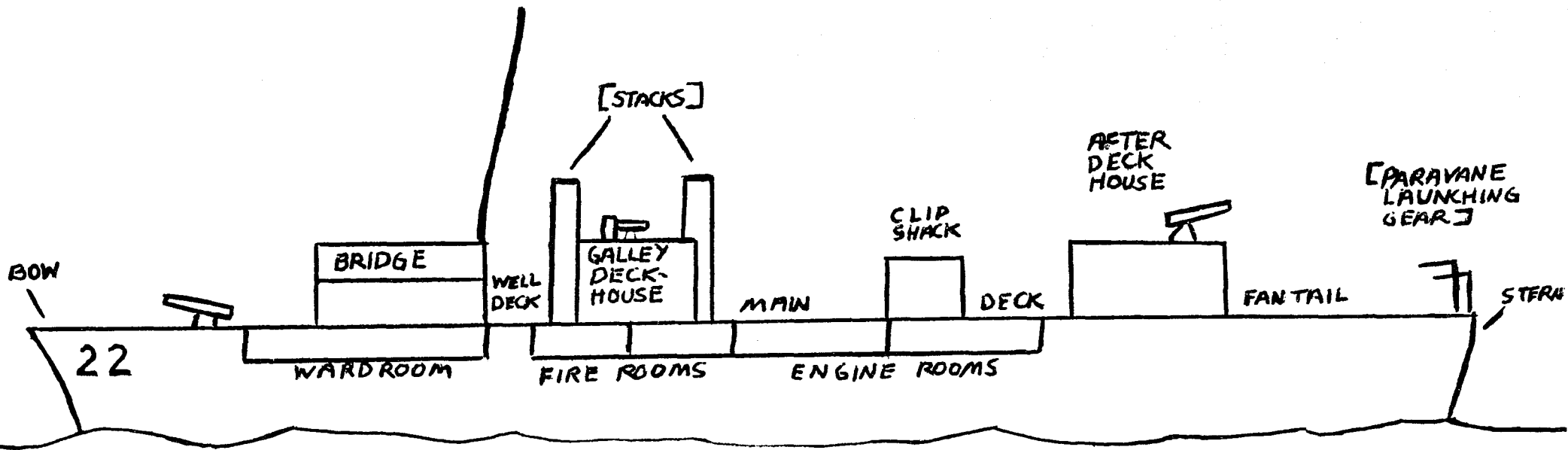
Condi-
tions to
fulfill.

In order that a subordinate officer, acting upon his own initiative, may be vindicated for relieving a commanding officer from duty, the situation must be obvious and clear, and must admit of the single conclusion that the retention of command by such commanding officer will seriously and irretrievably prejudice the public interests. The subordinate officer so acting must be next in lawful succession to command; must be unable to refer the matter to a common superior for one of the reasons set down in Article 184; must be certain that the prejudicial actions of his commanding officer are not caused by secret instructions unknown to the subordinate; must have given the matter such careful consideration, and must have made such exhaustive investigation of all the circumstances, as may be practicable; and finally must be thoroughly convinced that the conclusion to relieve his commanding officer is one which a reasonable, prudent, and experienced officer would regard as a necessary consequence from the facts thus determined to exist.

Article 186.Respon-
sibility.

Intelligently fearless initiative is an important trait of military character, and it is not the purpose to discourage its employment in cases of this nature. However, as the action of relieving a superior from command involves most serious possibilities, a decision so to do or so to recommend should be based upon facts established by substantial evidence, and upon the official views of others in a position to form valuable opinions, particularly of a technical character. An officer relieving his commanding officer or recommending such action, together with all others who so counsel, must bear the legitimate responsibility for, and must be prepared to justify, such action.

U S S C A I N E (DMS-22) DESTROYER MINESWEEPER



As part of his orientation aboard the Caine, Willie Keith had to make a sketch of the major parts of the ship. This is a port side view of the Caine as depicted in the novel (p. 78). Bracketed labels are mine.

CHAPTER IX
THE SETTING OF THE CAINE MUTINY EVALUATED WITHIN THE
SITUATIONAL FAVORABLENESS DIMENSION OF
FIEDLER'S CONTINGENCY MODEL

"We get our first impression of the Caine from Willie Keith, an ensign who gravitates into the Naval Reserve by way of Princeton, Broadway night clubs, and Furnald Hall, Columbia" (Weeks, 1951, p. 79). Edward Weeks goes on to describe Willie as a kind of dilettante and mother's boy whose greatest accomplishment was the composition of ribald songs at the piano. He was a chubby but goodlooking youngster with a rather casual attitude toward life.

"Nothing in his training had prepared him for such a slovenly ship, nor for his berth in the clip shack, temperatures 105, ventilation straight from the funnel" (Weeks, 1951, p. 79).

From the very beginning, when Willie is met at the fleet landing in Pearl Harbor, he is astonished at the disparity between the Navy he was taught and the Navy he encounters on the Caine. As Ensign Paynter, the boat officer signalled, "three sailors lying in a half-canopied greasy gray boat alongside the dock rose wearily and mounted the steps. Their blue dungarees were ragged, and the shirttails hung outside the trousers" (66B). As the boat headed for

the Caine, two of the sailors, Meatball and Horrible, cursed at each other throughout the ride. Willie was astounded that Paynter would permit such language in the presence of officers. "But the stream of gutter talk appeared to trouble Paynter no more than the lapping of the water" (67M).

Normally an immaculate, hallowed place of entry aboard ship, the quarterdeck aboard the Caine astounded Willie beyond belief. "It was a place of noise, dirt, bad smells and thug-like strangers" (69T). The deck was littered with debris and most of the sailors were shirtless. As the men crossed and recrossed the quarterdeck area, Keith noticed that their ragged haircuts and untrimmed beards did not conform with Navy regulations. "Oaths, blasphemies, and one recurring four-letter word filled the air like fog" (69M).

As Paynter took Ensign Keith below to meet LCDR de Vriess (the Captain), they passed through the Caine's wardroom, the dining and lounge quarters for ship's officers. "Willie noted with horror several secret publications among comic-strip books, leg-art magazines, and frayed Esquires" (69B).

Willie was led from the wardroom to the executive officer's quarters (second man in command) of LT. Gorton. Pin-up pictures literally covered the green bulkheads [walls] of the XO's cabin. Willie extended his hand to LT. Gorton. "An enormously fat, husky young man, nude

except for tiny drawers, sat up on a raised bunk, scratching his ribs and yawning" (69B). Almost simultaneously, Captain de Vriess came to the doorway and Willie was again shocked. "The captain was absolutely naked. In one hand he carried a cake of Lifebuoy soap, in the other a lighted cigarette" (70T). Willie's first impulse was to salute the Captain, the supreme authority aboard ship, but he suddenly remembered that Navy regulations prohibit the saluting of a superior when he is uncovered (without his official hat or "cover"). "And he had never seen a more uncovered superior than his commanding officer" (70M).

When Ensign Keith stood his first in-post quarterdeck watch, he was appalled at the slackness of the enlisted watchstanders. Some were reading comic books, other were smoking or even sleeping while on guard duty on the fore-castle (forward part of the ship) or the fantail (aft part of the ship). After threatening to put the men on report, most of them sullenly manned their posts in a regulation manner. After the watch, Willie reported his difficulty with the enlisted watchstanders but LT. Adams was not surprised. He told Keith that the Caine had been in the forward area since March '42; the men had seen a great deal of action and were slightly Asiatic. "They probably think a fantail watch in Pearl Harbor is foolishness. The trouble is, the skipper thinks so, too" (82T).

Below decks, the condition of the Caine was even worse than Keith's impression of its outward appearance. When reveille was sounded, hardly a sailor moved from his bunk despite the glaring overhead lights. "The deck was as nasty as a chicken yard with butts, papers, clothing, and moldering scraps of food. The fetid air sickened him" (83T). Willie's sleeping quarters were not much better. He was assigned to the "clip shack" along with Ensign Harding. Their two hammocks were hung in the metal box structure (6' x 7' x 3') which was located amidships and had little ventilation (average temperature about 105°).

Willie found it difficult to get much sleep in the cramped, hot quarters and soon began "dragging" in trying to keep up with his watchstanding and decoding duties as assistant communicator to LT. Keefer. A bitter resentment for Captain de Vriess began to build up in Willie, bordering on hatred.

De Vriess was the man who permitted all the filth and sloth of the Caine, for which he deserved a court-martial The ship was the measure of the commanding officer. He had fallen into the hands of a bullying stupid sloven. (84T)

When Willie asked LT. Keefer how a moron like deVriess could get command of a ship, Keefer replied: "He isn't commanding a ship. He's commanding the Caine" (86M). In his final analysis, Willie concluded that "the Caine was a pile of junk in the last hours of decay, manned by hoodlums" (71B).

Realizing that the commanding officer generally sets the tone of a ship, Willie noted an obvious slackness toward regulation even by his fellow officers. "He was beginning to realize that the wardroom was a tangle of subtle, complex evaluations by the officers of each other, knotting centrally, as it were, in the person and attitudes of the captain"(90B). Keith was, therefore, somewhat surprised at the transformation which occurred when the Caine got under way from Pearl.

As the lines were cleared fore and aft, Captain de Vriess issued a series of rudder and engine orders in quick succession as the Caine began to shudder her way from the pier. The efficiency of the sea detail greatly impressed Keith since it was handled with expert seamanship. His perception of de Vriess began to change as the Caine cleared the channel and was making twenty knots through the blue waters of the Pacific. "Knowledge was in his eye, authority in his manner, decision in the sharp lines of his mouth" (92M).

The Caine began steaming with other minesweepers for an exercise in deploying sweep gear. The other DMS's looked very sharp in appearance compared to the Caine but when the competition began, the crew of the Caine became one machine and deployed paravanes (cutting gear) before the other crews had even readied their equipment. LT. Steve Maryk was the deck officer in charge of the sweeping detail and was an expert in seamanship. The Caine's time was 45 minutes as

she soundly beat everyone else in the exercise, but Captain de Vriess wasn't satisfied. "Book calls for one hour, the standard on this ship is thirty minutes" (102B). The Caine also beat the other ships handily in recovering the paravanes which delighted Captain De Vriess since one of his friends, Iron Duke Sammis, commanded the DMS Moulton.

The next day, Keith visited one of his classmates aboard the Moulton and could not reconcile the differences between the two ships. He had considered de Vriess a tyrant but compared to Iron Duke Sammis, his skipper was "lazily benevolent." In terms of appearance, "the Moulton was a model of naval order and efficiency, the Caine a wretched Chinese junk by comparison" (109T). But the Moulton had dropped a paravane during the exercise and the Caine had led in all categories of performance. He could not logically come to a conclusion but recalled the maxim of the Caine's intellectual, LT. Tom Keefer: "The Navy is a master plan designed by geniuses for execution by idiots, and ask yourself, 'How would I do this if I were a fool?'" (109T).

Shortly after returning from the Moulton, Keith was summoned to the Captain's cabin. De Vriess called him on the carpet for a missing, routine precedence message which Willie had misplaced during the excitement of the minesweeping exercises. Willie regarded his error as a simple mistake but the Captain reminded him of the gravity of such an error.

"There are mistakes and mistakes. The margin for error is narrow in the Navy, Willie. There's too much life and property and danger involved in every act" (111T). In addition, the Captain revised Keith's fitness report from "excellent" to "above average" which was essentially a blackball in Navy usage of the report. "The fitness report was so dread an instrument that few commanding officers had the bowels to be coldly honest. As a result, the average officer was judged 'excellent' on these forms" (112T). The effect on Willie was noticeably irritating since he realized that "to call a man 'Above Average' was to inform the Bureau that he was a nonentity" (112T). To add insult to injury, de Vriess restricted Keith to the ship for three days (the amount of time the message had been lost) since "the punitive use of the fitness report negates the value of the system and is strictly forbidden by a Sec Nav directive" (112B). In Willie's mind, however, the Captain had used the fitness report as a means of discipline, a strong punishment for having mislaid a message of routine precedence, the last two lines of which read as follows: "Training duty of Lieutenant Commander Philip F. Queeg has been canceled and he is proceeding to relieve at once" (110M).

Prior to the inferential analysis of Queeg in a later chapter, the evidence so far presented must be assessed in terms of Fiedler's Contingency Model. Lieutenant Commander

William H. de Vriess has been the focal point of leadership on the Caine as must be the captain of any ship by virtue of his absolute positional authority and power.

The facts and incidents aboard the Caine thus far indicate a situational "favorableness" on the left spectrum of Fiedler's Contingency Model, more specifically by the variables in Octants I and III. It can be inferred that leader-member relations are good and that leader position power is strong. By virtue of the fact that the Caine is a military vessel on an assigned, wartime mission, the task is highly structured as depicted in Octant I. However, there is enough evidence of nonregulation conduct, especially in port, which is indicative of a seemingly unstructured environment as noted in Octant III. For example, Captain de Vriess has the same type of tasking as other DMS's but he tends to unstructure the "how" of accomplishing those tasks (in-port guard duty) while going "by the book" on others (launching and recovering paravane equipment).

De Vriess seemed to know how to walk the thin line between the obsessive task-motivated leader who is only interested in results of performance and the relationship-motivated leader who understands the humanistic factor in getting the job done through inspirational incentive. In a wartime situation with so much time at sea, the skipper of the Caine was a master of knowing what to emphasize and when.

To have unrelentingly enforced every Navy regulation on men who were often battle-fatigued would have greatly drained efficiency and promoted low morale. To the untrained eye of Ensign Keith, Captain de Vriess was a slovenly Prussian who knew how to handle a ship. To the men who knew him, de Vriess as an ideal "skipper" whom they would follow to hell and back. Thus, de Vriess embodies that unique blend of both the task (low LPC) and relationship (high LPC) motivated type of leader whose outward way of doing things might lead one to believe that he was all task-motivated. Underneath his gruffness was a heart of compassion which could temper his judgment in matters of regulation enshrouded in an unpretentious competence which instilled respect in subordinates. Yes, Captain de Vriess was task-motivated only in those matters of the greatest magnitude but he moved more toward the high LPC, considerate leader in the personal perception of his men summarized as follows as he is relieved by Queeg:

. . .you can do things with some ships that you can't do with others. . . . Between you and me, these damn buckets ought to be melted down to razor blades. They roll and pitch too damn much, the power plant is shot, all the machinery is obsolete, and the men are crowded like animals. These are the only firerooms in the Navy where the black gang has to work under air pressure. If anything goes wrong, a blowback can kill them all. The men know the kind of deal they've got. The strange thing is, most of the crazy bastards like it. Damn few of them put in for transfers. But they have to do things their own way. It's the Hooligan Navy, to look at them. But give them a chance, and they deliver. They've backed me up in some bad spots-- (127M)

Queeg cut de Vriess short probably because he wasn't listening either out of personal disagreement or ignorant rudeness based on egocentricity, or both. As will be seen in the next chapter, it would have been better for Queeg to have heeded the wise insight of de Vriess' accumulated experience aboard the Caine. However, Lieutenant Commander Philip F. Queeg was obsessed, almost from the onset, on doing things his way.

CHAPTER X

QUEEG

As mentioned earlier Queeg will be the focal point of inferential analysis of leadership in relation to Fiedler's Contingency Model. This chapter will also deal with secondary characters (Keith, Keefer, Maryk) collectively as an illustration of their respective leadership traits and actions. It is imperative that the reader remember the situational variables of octants I and III which existed aboard the Caine prior to Queeg's arrival. The reason is that Queeg's competence, intentions, actions, and inactions will greatly affect the situational leader favorableness of the Contingency Model, forcing a shift toward the right side of the spectrum of octants which tend to be unfavorable situational variables for leaders.

The reader should be aware that this chapter will be largely summary in its presentation of the leadership profiles of Queeg, Keith, Keefer, and Maryk. It is necessarily lengthy as a case study but great effort was expended to extract only pertinent dialogue, action, and descriptions which would have a direct bearing on leadership types within the Fiedler Model and the nature of the bureaucracy in which the characters interacted. The reader will see Queeg as a classic example of Fiedler's task-motivated (low LPC)

leader but operating in changing situational variables as noted above. Other aspects of the Model with regard to an inferential analysis of predictable behavior of all the key characters relative to the Model will be undertaken in the next chapter. As for now, the reader should keep Fiedler's Model well in mind as the following factual summary unfolds.

Queeg's Arrival: DeVriess' Departure

LCDR Philip F. Queeg's unexpectedly early arrival aboard the Caine embarrassed Ensign Harding, the officer-of-the-deck who greeted the new captain. As usual, the deck was a mess and the general atmosphere of "slackness" was pervasive. However, Queeg exhibited no outward indication of being disturbed. "Queeg's voice and manner were pleasant. He gave no sign of being disturbed at the dishevelment of the Caine, or even of being aware of it" (120 T).

However, as the relieving of command progressed in De Vriess' cabin, it became apparent that Queeg's calm exterior belied his inner tension which was fueled by what he had thus far seen and heard. For the first of what were to be many occasions, Queeg began to exhibit a strange manifestation of inner stress. Queeg reached into his pocket and "brought out a couple of bright steel ball bearings the size of marbles, and began rolling them absently between the thumb and fingers of his left hand" (122T).

In a rather pressing manner, Queeg asked to see the officers' fitness reports De Vriess had recently completed. Despite the unusual request, De Vriess consented, sensing that Queeg (an Annapolis man) was slightly perturbed about the number of reserve officers who would be serving under him. "'That's one against how many--twelve?'" (122 M). As Queeg goes through the fitness reports and asks questions, De Vriess gives his varied opinions of the officers, especially Maryk, Keith, and Keefer. His comments are a reflection of a relationship-motivated (high LPC) leader who knows his men while maintaining the expectation of high performance of the task-motivated (low LPC) leader. Through these comments, initial analysis of secondary leaders is obtained.

Queeg is first impressed by LT. Steve Maryk's fitness report. "'Pretty nice. This about Maryk, especially. For a reserve'" (122 B). De Vriess replied that Maryk was a "crackerjack" of a first lieutenant (deck officer). "'He's one in a hundred. Used to be a fisherman. He knows more about seamanship than some chief boatswain's mates'" (122 B).

Next, Queeg reviewed Keith's fitness report. "'What's the matter with this Keith?'" (123 T). De Vriess answered, "'Nothing. He's going to be a good officer. Needed a kick in the pants and I gave it to him'" (123 T). He further states that Willie has a "good head" and adds that

he will probably rewrite the report before forwarding it to BuPers (Bureau of Naval Personnel). After De Vriess explains about Keith's misplacing the message, Queeg asks why the communication officer, LTJG Tom Keefer, was not also punished for not catching Keith's error.

De Vriess seems to defend Keefer by stating that no system is foolproof and adds: "'Keefer does very well Brilliant mind. A writer Son of a gun's been working on a novel in off hours--'" (123 M). Queeg interrupts and inquires further about disciplinary measures for Keefer. In a firm but pleasant tone, De Vriess reiterates that he considers both Keith and Keefer as excellent officer material. Adding that Keefer has "the brains to do anything superlatively," De Vriess points out that Keefer's somewhat older age reflects divided interests with regard to the military in general and the Navy in particular. However, De Vriess concludes: "'You engage his loyalty and he'll deliver the goods. Stands a fine OOD watch under way'" (123 M).

De Vriess then asks Queeg about his experience in handling destroyers and Queeg states that he's had many hours as OOD (officer-of-the-deck) under way. With regard to coming alongside, mooring, etc., Queeg merely states that he's "given the orders and so forth" (124 M). Queeg adds that he had only been the exec on the destroyer Falk for a month before being sent to a carrier where his

opportunities to conn (maneuver) a ship were almost nonexistent. When De Vriess offers to take the Caine out for a few runs so that Queeg can get the feel of the ship, Queeg shrugs off the offer and announces his intention to complete the relieving process by the next morning.

Captain De Vriess was pleased but also startled. Since he had been exec on the Caine for several months prior to becoming captain, he had relieved his commanding officer in forty-eight hours because he was so familiar with the ship and its routine. "Queeg was stepping into a vessel of a new type, about which he knew almost nothing" (125 M). De Vriess had assumed that Queeg would have taken at least a week to relieve, including several days at sea to observe the Caine and its crew in action. He merely consented and took Queeg on a "Cook's tour" of the ship.

Willie first met Queeg in the Caine's wardroom as De Vriess made the introductions.

In one anxious glance Willie took in these details: a small man, slightly shorter than himself; natty blues with two campaign ribbons and one battle star; an oval, somewhat plump fair face with small narrowed eyes; and some strands of sandy hair across an almost bald head, with thicker fringes at the sides. (126 M)

As De Vriess stepped back into his cabin, Willie and Queeg began checking the inventory of registered publications.

Early the next day, De Vriess was ready to leave the Caine after being aboard almost five years. Members of the crew interrupted their work to cast one last look at their

ex-skipper. Chief Budge emerged from a group of petty officers and presented De Vriess with a gift from the crew. De Vriess looked at the watch and then turned toward the sailors. "'Well, everybody's a damn fool. I can't accept it. It's against Navy Regulations'" (128 M). One of the sailors quickly responded, "'You don't always go by regs, sir--'" To which De Vriess answered, "'That's my goddamn trouble. I've been in the hooligan navy too long'" (128 B). Chief Budge placed the watch dejectedly on the cover of a nearby ventilator.

As he began to depart the ship, De Vriess turned once again to the men. "'You guys take an even strain with the new skipper you chiefs and first-class P.O.'s run the ship, as you know damn well. Keep the men in line and give things a chance to break in--'" (129 T). Very quickly, De Vriess began to descend the ladder to the gig (captain's motorboat) when he suddenly stopped, spying the watch glittering in the sun. "'Some silly bastard left a watch lying around Might as well steal myself a souvenir of this old bucket. Not a bad watch at that'" (129T). De Vriess saluted the crew with a "thanks" and disappeared into the waiting gig. As the gig pulled away, De Vriess was "slouched on the cushions under the canopy, reading a paper-bound mystery" (129 M).

Absently rolling the steel balls in his left hand, Queeg suddenly emerged from below and the crew immediately

set to work, heads bent. He directed Engstrand, the gangway petty officer, to note the exact time of De Vriess' departure. Then, turning to Keith, the in-port OOD, Queeg firmly stated: "'Pass the word to your relief that while we're in Pearl the gangway watch will be stood in undress whites'"(130 T). Willie snapped to, thinking that it was about time the Caine was restored to the "real" Navy. Queeg rolled the steel balls more relentlessly as he scrutinized the condition of the Caine. He once again turned to Willie: "'Pass the word. Meeting of all officers in the wardroom at 1630'"(130M).

The New Regime

It is obvious that DeVriess' style of leadership enhanced his effectiveness aboard the Caine in the performance of its mission. He knew when to exercise leadership motivated by task as well as relationships. This flexibility in leadership style, however, required a personal knowledge of and interest in subordinates as well as a high degree of competence in carrying out the functional aspects of tasks or missions. An extreme task-motivated leader (low LPC) can be effective without strong leader-member relations if he is very competent just as a highly relationship-motivated leader (high LPC) can be effective by being somewhat deficient in functional competence, relying heavily on the personal competence of subordinates.

If a person in a position of authority possesses neither quality, it is doubtful that he could be an effective leader except in a highly structured situation where leadership makes little difference.

Initially, Queeg gives the impression that he is a personable, flexible individual with a somewhat calm demeanor, save for the occasional nervous rolling of the steel ball bearings. In addition, he is overly confident or overly ignorant about his knowledge of the ship, especially in ship handling. Most new captains would have taken several trial runs with the old skipper to learn the ship's handling characteristics as well as the proficiency of the crew. As evidence is presented, the focus will be on Queeg's functional competence with his ability to handle people as a secondary consideration.

Every new leader must make known his or her expectations and anticipated objectives if different from the previous leader. Therefore, Queeg wasted little time as his officers gathered in the Caine's wardroom to meet the new captain. Queeg's opening remarks indicated that his first impression of both the ship and crew is favorable. He further stated his anticipation of a good cruise with good "hunting." This is tempered somewhat by the following remarks:

"I intend to give you every cooperation and I expect the same in return. There is such a thing as loyalty

upward, and such a thing as loyalty downward. I desire and expect to get absolute loyalty upward. If I do, you'll get loyalty downward. If I don't well, I'll find out why, and I'll see to it that I do." (131 M)

Queeg proceeded to laugh after these remarks but then quickly became serious about exactly how he wanted things done aboard the Caine. "'Now there are four ways of doing a thing aboard a ship--the right way, the wrong way, the Navy way, and my way. I want things on this ship done my way'" (131M). Asking for questions after this last remark, Queeg only received blank stares. Keefer was standing back near a corner, slowly shredding a cigarette as he listened.

Next, Queeg left no doubts as to the basis for judging competence aboard ship. He ordered his officers to perform strictly by naval regulation and policy which appeared to be a contradiction between doing things Queeg's way versus the Navy way unless, of course, the two were one and the same.

"Now, I'm a book man, as anyone who knows me will tell you. I believe the book is there for a purpose. When in doubt, remember we do things on this ship by the book. You go by the book and you'll get no argument from me. You deviate from the book and you better have a half dozen damn good reasons--and you'll still get a hell of an argument from me. And I don't lose arguments on board this ship. That's one of the nice things about being captain." (131 B)

Queeg then closed his wardroom talk with a word on the standard of performance he expected. "'Aboard my ship, excellent performance is standard. Standard performance is sub-standard. Sub-standard performance is not permitted

to exist'" (132T). Queeg quickly added that since the Caine had been steaming such a long time without benefit of his leadership he didn't expect everything to change overnight. He stated that if anything was to be changed, department heads would find out about it fast enough. "'Meantime, you will go on with your duties as before, remembering, as I say, that on my ship excellent performance is standard'" (132T).

At this point, not many people would take issue with Queeg's remarks regarding his desire to run a taut ship. However, the rate at which he expects change will be phenomenal based on the nature of the situation when he assumed command. He will make little effort to get to know his officers beyond their fitness reports but personal relationships will not be of prime importance to Queeg as future incidents will prove. It should be noted here that during Queeg's initial wardroom talk, he states that the officers are a "splendid bunch" three times which might indicate an over-compensation for his true, inner feelings about the competence of reserve officers.

The first test of Queeg's "excellence is standard" expectation involved the communication officer, Tom Keefer. Tom explained to Queeg that while the Caine was moored to a nest of destroyers each destroyer took its turn in copying message traffic for all the destroyers. Queeg became slightly agitated and asked Tom about trusting other ships to

copy messages for the Caine, especially if something should happen to the destroyer on communication duty. Tom replied, "'Look, Captain, suppose the Betelgeuse blows up? Suppose we do? You have to assume certain normal conditions--'" (136M). Queeg became very forceful and stated, "'Nothing will be assumed on this ship from now on, not a goddamned thing'" (136M). Finally, Queeg explained in a pleasanter tone the reason for his rationale.

"Now listen, Tom, in this Navy a commanding officer gets a chance to make one mistake--just one mistake, that's all. They're just waiting for me to make that one mistake. I'm not going to make that mistake, and nobody on this ship is going to make it for me. I can keep my own radio gang from doping off if it takes six months restriction apiece, and breaking them all to seaman second class, to wake them up. But I can't do anything about some silly ape who dopes off on the Betelgeuse." (136M)

Shortly after this explanation, Tom stopped by to see Steve Maryk and asked his opinion of Queeg, especially in comparison to De Vriess. Maryk stated that De Vriess was a good officer and shiphandler to which Keefer replied: "'For crying out loud, Steve. He ran this ship like a garbage scow'" (140M). Keefer added that Queeg was what the Caine needed. "'I wouldn't be surprised if someone in ServPac alerted the Bureau to send us a red-hot book man, to clean things up'" (140M). Maryk summed up the fact that the Caine had performed well under the circumstances. "'Everything gets done that has to get done--not the Navy way, maybe, but it gets done somehow'" (140M). Steve reminded Tom that the

Caine had less repair time than any other "four piper" in the fleet and seemed to be held together by nothing more than "baling wire and chewing gum." Steve concluded, "'She gets under way, she goes where she has to go, the gun crews shoot pretty good, the engine plant holds together'" (140M). Finally, in comparing De Vriess with Queeg, Maryk asked, "'What's Queeg going to do except try to get things done by the book, instead of the Caine way? . . . All De Vriess cared about was results'" (140B).

Keefer hated to admit it, but he acknowledged that "the book way is the right way" while noting that the Caine got things done simply by dumb luck. Maryk's face became more perplexed as he replied, "'Sure, the book way is the right way, for the right ship. By the book, though, the Caine should be in the boneyard. Maybe this ship has to be run screwy because it's screwy for her to be afloat at all--'" (141T).

Keefer interrupted with a comment which generalized about the disparity between regular and reserve officers. "'We're civilians, free citizens, and it burns us to be treated as dumb slaves by these Queegs, who are the most colossal ignoramuses in the world except for their book'" (141T). However, Keefer said that maybe the book was all that mattered because of the war.

So, the new regime has begun "by the book" and there seems to be a mixed reaction among the officers as

depicted by the viewpoints espoused by Keefer and Maryk who have been on the Caine for some time. The question seems to be whether or not Queeg can achieve the same or better results than De Vriess in a much more regulation manner. It should be kept in mind that the variable of "task structure" will not change appreciably since the Caine will maintain its present mission of sweeping mines and performing escort duty. However, the reader may note a gradual shift from octants I and III of the Contingency Model to the octants on the right of the spectrum. "Leader-member relations" will begin to deteriorate due to various actions by Queeg ultimately forcing a complete weakening of "leader position power."

The Caine Gets Under Way

The Caine received orders to proceed southeastward on convoy duty to Pago Pago. As she was preparing to get under way, Queeg came up to the bridge smiling and greeting each man in a jovial manner. Willie noticed a blue book under Queeg's arm entitled On a Destroyer's Bridge, a manual of good shiphandling.

When all lines had been singled up, Queeg merely said, "'Kay.'" Then without hesitation he ordered, "'Well, let's go. All engines back one third'" (144 T). As the Caine shuddered backward, the fluke of the decked anchor ripped along the forecastle of the Moulton. Then a jagged

hole was made in the Moulton's bridge and the gun on the Caine's galley deckhouse ripped out two antennas as it battered down the side of the Moulton. As Captain Queeg screamed a tangle of orders, smoke billowed from the stacks and descended on the bridge and people were running around wildly in the smoky gloom. When it was all over, "the Caine was stuck fast by the stern in the mud on the other side of the lock, canted over about ten degrees" (144M).

Captain Queeg was not the least bit disturbed as he sent a message of apology to Captain Sammis for the mishap. The report from the fantail was that no hull damage had been done but that the ship's propellers (screws) were buried in mud. Queeg merely nodded. "'Kay, a little mud bath never hurt a propeller, shine 'em up a little, maybe'" (144 B). When it was suggested that a grounding report be sent to ComServ Pac, Queeg said no report would be filed.

After a nearby tug pulled the Caine free, Queeg again took the conn and proceeded to a nearby fueling dock. The crew held their breath as Queeg tore in towards the dock at a sharp angle and at a speed of fifteen knots. "But in the very last seconds Queeg backed down emergency full, and the Caine slowed, shuddering fearfully, and dropped into its berthing space as neatly as a New York taxicab parking" (145 M). Queeg then pocketed the two steel balls,

ordered refueling to commence and sauntered off the bridge. Maryk muttered, "'Jesus, a wild man from way back'" (145 M).

Shortly after refueling, Willie wrote a note to May Wynn which contained his perceptions of the new Captain. He stated that while Queeg is a strange man "like most of these regular officers," he is just what the ship needs. "He's a strict perfectionist and a hard taskmaster, and pure Navy through and through" (145 B). Willie also said that Queeg has a "remarkably pleasant disposition" and is full of "zip." Willie seemed optimistic about the recent change aboard the Caine.

A Change of Orders

The next day, a message from ComServPac was received inquiring why a grounding report had not been filed and ordering that a report be filed immediately stating causes. Queeg's reply reflects a trait that will persist throughout his tenure aboard the Caine--an inability to accept responsible blame. Point two of his subsequent report states: "The reason for the grounding was failure of the engine room to respond in time to engine orders telegraphed from the bridge" (146 B). Queeg adds that the conditions aboard the Caine warrant a drastic drilling program to improve readiness, assuming no blame for what De Vriess had allowed to deteriorate in terms of training. Queeg concludes by asserting that a report was to be made soon by messenger

rather than despatch. "Report was not made to ComServPac at the time because help was at hand, damage was nil, and the matter appeared to be disposable without troubling higher authority unnecessarily" (147 T). In response to Queeg's report, ComServPac ordered the Moulton to replace the Caine on convoy duty. Instead, the Caine was to remain at Pearl Harbor for target-towing duty.

As in future mishaps, Queeg will not go by the book when it protects his lack of competence. Also, he compensated for his inadequacy by blaming subordinates for lack of dedication and loyalty towards him. His grounding report also assumes certain conditions surrounding the grounding which is contradictory to his philosophy on assumptions. It should be noted that as Queeg continues to make "mistakes," and as he continues to blame the officers and crew in his paranoia, he will gradually tighten up more and more in making and imposing absurd policy. For example, shortly after receiving the change of orders, Queeg sends his executive officer (LT. Gorton) to meet with the operations officer for ComServPac to see if the grounding was the cause of the change. During this exchange, Signalmen Third Class Urban brings a despatch in and has his shirrtail hanging out, standard dress aboard the Caine. Queeg orders Gorton to place the following announcement in the plan of the day: "Hereafter all shirts will be tucked inside trousers. Failure to comply will result in heavy

disciplinary action" (151 T). He also instructs the XO to call a meeting of all officers in the wardroom at 1300.

Queeg is slightly agitated as he tells his officers that their standard performance has not been as excellent as expected. He then adds a comment with regard to the recent change of orders. "'Either ComServPac decided that this ship is so outstanding that it deserves some extra-nice duty--or ComServPac decided that this ship is so lousy that it might not be competent to carry out an assignment in a forward area'" (152 T). Queeg answers his own choice of reasoning by saying that not only the engineering department, but the entire ship had better become outstanding "pretty damn quick."

In the same serious tone, Queeg asserts that if the Caine is going to tow targets the next few weeks she'll be the best damn target-towing ship this Navy has ever seen. Again mentioning the grounding, Queeg emphatically denies any responsibility due to the lack of training aboard the Caine. However, he quickly adds that he is responsible for anything that happens from now on. "'I don't intend to make a single mistake and--I won't tolerate anybody making any mistakes for me, and I kid you not'" (152 M).

Still rasping the steel balls, Queeg then asks who is the morale officer aboard the Caine. No reply is made so Queeg appoints Willie Keith morale officer. His first duty is to make sure all members of the crew have their shirrtails

tucked in. He tells Willie to be as tough as he pleases and he'll back him to the limit. "'If we want these men to start acting like sailors we've got to make them start looking like sailors'" (153 T).

In five paragraphs of beautiful rolling prose, Willie instructed the crew to tuck in their shirttails. To his amazement, the order was obeyed. "The crew, wise as wolves, knew perfectly well where the order came from. They were walking softly with their new captain" (153 B). Pearl Harbor was too nice a port to risk restriction to the ship. Also, Queeg himself had lost his ebullience and his dashing ship handling had been replaced by "painful inching toward a dock or away from it."

A Cable Is Cut

One morning as the Caine was preparing to get under way for towing duty, a fog bank drifted in over the harbor. Queeg secured the special sea detail but the fog persisted arousing a sense of anxiety in Queeg. Despite the dense fog, Queeg finally ordered the OOD to stand by for getting under way. As the Caine backed into the channel, a tremendous blast which seemed almost on top of the Caine, shattered the air. Queeg screamed to stop all engines. "He ran past Willie again and again, circling the bridge in frenzy four times, stopping each time for an instant in the wheelhouse to yank the foghorn cord" (154 M). A monstrous tanker loomed past the Caine's stern.

Next, Queeg yelled at Gorton for a course to the channel gate but Gorton replied that he couldn't give a course until the ship had backed and turned around. Even though Queeg knew the course should be 220° from the ship's berthing spot, he ordered the helmsman, GM2 Stillwell to call out compass headings for every 20°.

Stillwell, tall with thick black hair and sensitive boyish features, began calling out headings while he gripped the wheel and stared at the gyrocompass. In the meantime, Queeg yelled through the pilothouse to confirm a course of 220° to the gate. Finally, Stillwell said, "'Steadying up on 220, sir'" (155M). The action which ensued has to be quoted for the reader to gain full insight into Queeg's handling of the matter.

"WHAT?" yelled Queeg. He dived into the pilothouse. "Who gave you the order to steady up?"

"Sir, I thought--"

"You thought! you thought! you're not being paid to think!" the captain screeched. "You just do as you're goddamn told and don't go thinking--please!"

The helmsman's legs were trembling. His face was white and his eyes seemed to be popping from his head. "Aye, aye, sir," he gasped. "Shall I come left again--"

"Don't do ANYTHING!" Queeg screamed. "What course are you on?"

"Tu-tu-two-five, sir, coming right--"

"I thought you steadied on 220--"

"I stopped steadying, sir, when you said--"

"For Christ's sake will you stop telling me what I said? Now, you come left and steady on 220!! Is that clear?"

"Aye aye, sir, l-left and steady on 220."

Still in a rage, Queeg yelled at Maryk for the name and rating of the helmsman. Maryk told Queeg that Stillwell was the ship's best helmsman but Queeg demanded that Stillwell be relieved at once. While Queeg continued to "chew" on Stillwell in the pilothouse, Willie shouted to the Captain that a battleship lay dead ahead about three hundred yards.

Queeg was horrified as he looked at the giant hulk bearing down on the Caine. He opened and closed his mouth three times before he uttered, "'All engines back pull--back--back--belay that--All stop.'" The battleship slipped down the starboard side of the Caine "like a steel cliff going by." When the lookout notified the bridge that a red channel buoy was one point off the port bow, Maryk told Queeg that the Caine was on the wrong side of the channel. "'We're not on the wrong side of anything. If you'll tend to your business and get another helmsman, I'll tend to my business and conn my ship, Mr. Maryk!'" (156M). After this remark, Queeg thrust his hand into his pocket and brought forth the steel balls.

The fog soon lifted and the Caine proceeded to rendezvous for target-towing duty. Late in the afternoon, Stillwell reported for his normal watch at the helm since

he had not been taken off the watch bill as yet. The Caine received a call from the last destroyer with a "well done" for its towing efforts. Queeg acknowledged and ordered Stillwell to come right with standard rudder. This order amazed the rest of the watch since the target and towline had not yet been recovered.

It seems that Queeg was preoccupied with "chewing out" Urban on the starboard wing of the bridge for having his shirttail out. Keith, the morale officer, was summoned to the bridge to provide an explanation for Urban's appearance. When Keith stated that he had been working on the fantail and had not seen Urban during the target exercise, Queeg became quite irritated. "'I didn't ask for an alibi! I am talking about your failure to carry out my orders, and impress this ship's crew with my desires regarding uniforms!'" (158 B). After instructing Willie to prepare a written report on his "failure" to carry out orders, Queeg turned on Keefer who still had the deck. "'Have you any explanation for the fact that the first man to violate my uniform orders is in your department?'" (158 B).

While Queeg was busy haranguing Urban, Keith, and Keefer on the starboard wing of the bridge, Stillwell continued to maintain right standard rudder. Knowing that the turning diameter of the Caine was a thousand yards and the towline was twice that long, Stillwell wanted to inform the Captain that the ship would soon cut its own towline.

"Ordinarily he would have called this fact to the Captain's attention, but today he would have bitten his tongue out before speaking" (159 M).

As Queeg was instructing Keefer to submit a report on why Urban's shirrtail was out, especially while Keefer had the deck, the Caine passed over its own tow cable with a slight shudder and glided on. Chiefs Bellison and Budge were on the forecastle uttering profanities about the situation. Soon, Bellison remarked in a low shaken tone, "'I'm an unholy son of a bitch. This ship has gone around a full circle, and is starting around again!'" (159 B). Budge replied, "'Maybe the old man's slipped his trolley--'" (160 T).

About the time Chiefs Bellison and Budge were running aft to check the tow cable, Queeg was winding up the shirrtail emergency. When Queeg noticed the target off the bow, he wheeled toward Keith and Keefer. "'Where the hell are we? What the hell's going on?'" (160 M). Noticing the rapidly rotating compass, Queeg screamed at Stillwell who merely reminded the Captain of his last order for right standard rudder. Queeg calmly agreed but could not figure out why the target was in front of the Caine. When the fantail watch reported that the cable was cut, Queeg became infuriated and decided to prove the report wrong. He ordered the rudder amidships and the Caine steamed two miles at standard speed leaving the target a

speck on the horizon. Blaming ConServPac for issuing bad cables, Queeg wrote the following dispatch: "Defective towline parted southwest corner of gunnery area Charlie. Target adrift, menace to navigation. Am returning to base. Suggest tug recover or destroy target at dawn tomorrow" (161T).

At this point, Maryk arrived on the bridge from the fantail and told Queeg that the target could be recovered in about an hour if the Caine would close to about fifty yards. Queeg shrugged off Maryk's suggestion and stated that the Caine's responsibility did not include "emergencies arising from defective gear." In disbelief, Maryk asked Keefer in a whispered tone if Queeg realized he cut his own tow line. Keefer merely shook his head. "'Steve, don't ask me what goes on in his mind. We're in trouble with this joker, Steve. I'm not fooling'" (161M).

Maryk again pressed the Captain to recover the target but Queeg retorted by alluding to the Caine's poor seamanship and stating that some "enlisted dumbheads" would probably be drowned in the process. The exec, Gorton, backed Steve but Queeg sent for Chief Bellison to get an opinion. The Chief agreed with Maryk's original suggestion so Queeg sent another dispatch to ComServPac. "If you prefer can attempt recover target. Request instructions" (162M). ComServPac radioed for Queeg to "act at discretion."

Queeg becomes visibly upset by this reply for it was not a direct order to take one prescribed action. A discretionary action would place responsibility on his shoulders. Muttering that the Navy is always "passing the buck" and then asking for a receipt, Queeg decides to head for Pearl. "'They're not hanging the responsibility on me for missing tomorrow's exercise and maybe breaking some thick sailor's neck. Let's head for the barn'" (162 B).

The next day, there were no exercises scheduled for the Caine but a message from the operations officer of ComServPac was received as follows: "At 1300 22 October commanding officer Caine will submit in person repeat in person written report on latest fiasco to operations officer ComServPac" (163 M). Queeg read the message and drew the steel balls from his pocket as he confronted Gorton, his executive officer, with the message. Queeg asked Gorton's candid opinion about what Queeg's superiors considered a fiasco. Noting a similar incident of a severed cable and quick recovery, Gorton stated that the difficulty of recovery might have been overestimated. Queeg then glared at Gorton as he asked why this "vital piece of information" had not been given at the time it was needed. Gorton, very surprised, reminded Queeg that he had backed Maryk's suggestion for recovery. But Queeg retorted that Gorton had not given a reason for backing Maryk. When Gorton mentioned the word "assumed" in his defense, Queeg

broke into a tirade about not assuming "a goddamn thing" in the Navy. "'That's why I have to submit a written report to ComServePac, because you assumed'" (164 M).

Queeg Explains the Fiasco

As Queeg was preparing his written report for Com ServPac, Willie asked Keefer for help in submitting his report on the shirrtail incident. Keefer had written his as fast as he could type it and Willie was amazed. Keefer explains that one must develop an ear for Navy prose. An official letter must have split infinitives, frequent use of the word "subject," and a repetition of standard phrases. Keefer even volunteers to write Keith's report which is fine with Willie. "'I actually enjoy writing Navy letters. It's like a concert pianist improvising on Chopsticks'" (165 B).

Keefer concludes his lesson for Keith with a comparison of De Vriess and Queeg. Noting that Queeg doesn't have the personal force of a De Vriess to look people in the eye, he must adopt a technique called "4X" which Keefer describes as follows: "'This consists of retreating into his official identity, like a priest inside a mumbo-jumbo idol, and making you address him through that scary image. Standard Navy'" (166 T).

But now it was Queeg's turn to account for his actions through a written report. The operations officer for

ComServPac, Captain Grace, was a large, foreboding man with a dominating personality. He read Queeg's report as Queeg sat motionless, hands folded in his lap. Upon finishing the report, Captain Grace brushed it aside with his massive, hairy hand, inhaled deeply on his pipe and said "unsatisfactory" as he looked straight at Queeg. When Queeg asked why, Grace replied, "'Because it says nothing I didn't know before, and explains nothing I wanted explained'" (166 M).

Captain Grace went on to question Queeg about why he divided the blame among his subordinates as well as his predecessor De Vriess. Grace also wanted to know what was so complicated about recovering a target. Queeg responded to each question with plausible answers as he began rolling imaginary steel balls with his hands. Queeg's answers always diverted blame from himself in accepting responsibility for mistakes. In an almost fatherly tone of understanding, Captain Grace stated that no man in the Navy had never made a mistake, especially new captains with first commands. In short, Grace understands the anxiety of initial command but Queeg is persistent in denying that any mistake, at least by him, had been made.

"No, Captain, I assure you I appreciate what you say, but I am not so stupid as to lie to a superior officer, and I assure you my first version of what happened is correct and I do not believe I have made any mistake as yet in commanding the Caine nor do I intend to, and, as I say, finding the caliber of my officers and crew to be what it is, I am simply going to get seven times as tough as usual and bear down seven times as hard until the ship is up to snuff which I promise will be soon."
(167 B)

Following this statement, Captain Grace asked Queeg a direct question: "'Did you come around in a complete circle, Commander Queeg, and cut your own towline?'" (168 M). Queeg became visibly uncomfortable stammering that he considered the question an insult. In fact, Queeg asserted that if that incident had occurred, he would have recommended his own court-martial.

Captain Grace told Queeg that the Admiral (ComServ Pac) had wanted the question asked, especially in view of preceding mishaps aboard the Caine. Queeg made the mistake of asking Grace in what regard the Admiral had found fault in the Caine's performance. Captain Grace's reply was as follows:

"Well, hang it man, first time under way you run up on the mud--of course, that can happen to anybody--but then you try to duck a grounding report and when you do send one in upon request, why, it's just a phony gun deck job. And then what do you call that dispatch to us yesterday? 'Dear me, I've lost a target, please, ComServPac, what shall I do?' Admiral blew up like a land mine. Not because you lost the target--because you couldn't make a decision that was so obvious a seaman second class could have made it! If the function of command isn't to make decisions and take responsibility, what is it?" (168 M)

Again, Queeg offered a reasonable defense for his actions adding that the Admiral seemed to be reprimanding him for reporting one incident and not going to higher authority for the other. While Queeg does admit that the two situations were different he perceives no difference in principle. Finally, Captain Grace tells Queeg that he

could arrange for him a state-side transfer with no reflection on past performance aboard the Caine. However, Queeg responds, "'And I wonder how that would look in my record, sir--relieved of my first command after one month'" (170 T). Even though Captain Grace guarantees a fitness report which would remove any possible doubt, Queeg remains staunch in his desire to remain aboard the Caine.

"I don't pretend to be the cleverest or smoothest officer in the Navy . . . but I'll tell you this, sir, I'm one of the stubbornest. I've sweated through tougher assignments than this. I haven't won any popularity contests, but I have bitched and crabbed and hollered and bullied until I've gotten things done the way I wanted them done, and the only way I've ever wanted things done is by the book. I'm a book man. The Caine is far from what I want it to be, but that doesn't mean I'm going to give up and sneak off to some shore billet . . . I am captain of the Caine and I intend to remain captain, and while I'm captain the Caine will carry out all its assignments or go to the bottom trying. I'll promise you one thing, sir--if stubbornness, and toughness, and unremitting vigilance and supervision by the commanding officer are of any avail, the Caine will come through any combat duty assigned. And I'll stand by the fitness report I'll get when my tour of duty is over, sir. That's all I have to say." (170 M)

Needless to say, Captain Grace was impressed with Queeg's apparent "professional pride and sense of duty," commenting that the Academy over-emphasized the need for perfection in naval officers. Grace concluded the discussion with some advice for Queeg. "'If I were you, commander, I'd worry a little less about making mistakes, and a little more about doing the most sensible and useful thing that occurs to you in any given circumstance'" (171 T).

Bearing Down

Queeg lost no time in living up to his commitments voiced during his meeting with Captain Grace. Upon returning to the Caine, Queeg noticed Stillwell, the petty officer of the watch, idly reading a comic book while Ensign Harding was on the forecastle checking the mooring lines. After screaming at Harding about an OOD being responsible for "every goddamned thing" which happens on his watch, Queeg ordered Harding taken off the watch bill and Stillwell put on report along with restriction to the ship for six months.

Storming off the quarterdeck, Queeg went below and found Keefer's and Keith's reports on the shirrtail incident. Calling Keefer in, Queeg fumed that his report was "unsatisfactory." When Keefer asked why, Queeg uses the exact words of Captain Grace. "'It tells me nothing I didn't know before, and explains nothing I wanted explained'" (172 B). Showing Keith's report to Keefer (which Keefer had written for Willie), Queeg tells Keefer to resubmit another report before 1600 of the same quality as Keith's. "'Try to see why Willie has written a perfect report whereas yours is a phony gun-deck job'" (173 T).

While Queeg was busy getting "seven times as tough," Captain Grace was making his report on Queeg to the Admiral. When the Admiral asked about Grace's opinion of Queeg, the Captain offered the following summation:

"An old lady, I'm afraid, sir. I think he's earnest enough and probably pretty tough, but he's one of those that are never wrong, no matter how wrong they are-- always some damn argument to defend himself, you know-- and I don't think he's very bright. One of the low men in his class. I've been checking around." (173 M)

The Admiral asked about the towline incident but Grace could not give him a straight answer, noting that it would take a court of inquiry to really determine the truth of Queeg's word. Finally, the Admiral asked Grace about the possibility of having Queeg relieved adding, "'But I don't like the cut of the man's jib, Grace. Too many questionable occurrences too fast'" (173 B). Captain Grace defended Queeg's mistakes as a result of "overtension" in a first command and that he should be given another chance.

Remembering that CINCPAC wanted two DMS's sent to the States for overhaul and new radar installations, the Admiral asked Grace if there was any reason the Caine could not be sent. Captain Grace said that the Caine had been in the forward area for 22 months and would be a good choice. The Admiral ordered the dispatch sent to the Caine for state-side overhaul. "'Let this Queeg pull his next butch somewhere else'" (174 T).

Of course, a yard overhaul in the States was almost prayed for during time of war. After over a year at sea, De Vriess had not been able to arrange it for the old Caine. "Queeg had achieved it in his first four weeks, commanding the Navy's best goddamn target-towing ship" (174 T).

The Voyage Home

The officers and crew were elated at the news of the overhaul in the yards at San Francisco. Even Queeg seemed in a better mood. Before everyone could celebrate in Honolulu, Queeg bought up all the officers' liquor rations which netted him 31 bottles of scotch. As he was counting the bottles, Queeg summoned Carpenter's Mate Second Class Langhorne to his cabin to discuss the specifications of a crate for the booty. As Langhorne goggled at the contraband, Queeg told him that the bottles would be considered as medical supplies adding that, "'if asked, you've never seen these bottles and know nothing about them'" (177 B).

However, Queeg's apparent euphoria did not mitigate his punishments at Captain's Mast. Willie, the recorder, noticed that Queeg never put a man on report personally but always designated an officer as the accuser even if the officer had not witnessed the sailor's infraction. Queeg took particular pleasure in announcing Stilwell's sentence of six months restriction to the ship despite the fact that the sailor had not been home in two years.

After sentencing, Stillwell approached Willie about the possibility of intervening with Queeg for a few days' leave to Idaho. Stillwell admitted that he had reason to believe his wife was being unfaithful and wanted to see if he could set things straight. Like most other people aboard the Caine, Willie liked Stillwell and wanted to help.

As Stillwell appeared in Keith's doorway, Wouk describes the sailor much in the same manner as Melville described Billy Budd.

There are young men, slim, well built, and clean-faced, with bright eyes and thick hair, and an open, cheery look, who invite good feeling and make things pleasant wherever they are, almost in the way pretty girls do, by the pure morning light that is on them; the gunner's mate was one of these. (175 M)

Stillwell was elated by the fact that Willie felt there was a good chance of getting approval for a few days' leave despite the six-month restriction.

During the voyage to San Francisco, Queeg ordered a General Quarters drill during which everyone mans his battle station dressed in full combat gear (helmets, life jackets, etc.). When the drill was sounded, very few men were equipped with battle dress gear. Queeg had the word passed that all men not in full battle dress would be put on report. Suddenly helmets and life jackets came out of nowhere as the men frantically reacted to the announced orders over the ship's PA system. Queeg became enraged and ordered that violators be arrested but his order was too late as virtually all sailors stood ready in full battle dress. Not to be defeated, Queeg muttered that the innocent must suffer with the guilty; leaving punishment up to the crew among themselves. "I am hereby depriving every man on this ship of three days leave in the States" (181 T).

The next day, Willie approached Queeg about the circumstances of Stillwell's case in requesting leave. Queeg merely gave Willie a lecture on the merits of strict naval discipline, especially during war. Queeg pointed out that pressure must be maintained on the men at all times because the entire organization might come apart. "'When a war is on you've got to get tougher with enlisted men, not easier'" (183 T).

Exasperated, Willie blurted out that reading on watch could not really be any greater offense than transporting whisky aboard ship. With a slight smile, Queeg state that "rank hath its privileges" and that the enlisted men should "do as we say, not as we do." Queeg illustrated his point by saying, "'An admiral can wear a baseball cap on the bridge. That doesn't mean the helmsman can'" (183 B). Queeg concluded that the only way to make the enlisted men obey orders is "to get goddamn tough with them and make it stick." Stillwell was going to be made the example for the rest of the crew.

As the Caine approached the Golden Gate Bridge several days later, Queeg asked Gorton for a course to Oakland. Gorton seemed surprised since yard Pier 91 was not in Oakland. However, Queeg insisted that the Caine would lie off Oakland for a while before entering the Navy Yard for overhaul. Gorton advised that now was the best time to dock at Pier 91 since it was "slack" tide. The current could

be as much as five knots later which would make an approach dangerous. "'Let me worry about landing this ship. Give me a course to Oakland'" (185 T).

The Caine lay to off Oakland a few hundred yards from a nearly deserted street. Queeg ordered his crate of "medical supplies" brought up on deck. He then appointed Willie as boat officer to oversee the loading of the liquor aboard the captain's gig (motorboat). Once the heavy crate had been safely loaded, it departed for shore on the gig with three sailors and Captain Queeg. At the dock, Queeg barked orders as the three sailors heaved and tugged at the crate. The result was catastrophic as the boat lurched and the crate went crashing over the gunwhale and bubbled to the bottom of the bay.

Upon returning to the Caine, Queeg was furious at Willie for what he termed a fiasco. Willie apologized but added that he hadn't been ordered to supervise the unloading of the crate. "'I don't tell you to wipe your nose, either, Mr. Keith, when it needs it. There are certain things that an officer is assumed to understand for himself'" (187 T). Willie was a bit surprised at Queeg's use of the word "assumed." Finally, Queeg fumed that he didn't appreciate such a foul-up of a simple detail as transporting cargo, especially when it cost him a hundred and ten dollars.

As the Caine left Oakland and approached Pier 91, it was not making much headway at five knots due to the predicted strong current. Queeg ordered linehandlers to stand by as he ordered engines ahead two-thirds in his approach to the pier ladened with the waiting civilian friends and families of the crew. Queeg backed down too late and the Caine crashed into the pier at an angle of twenty degrees. "A hideous splintering din arose, mingled with the shrieks of the lady spectators scurrying to the other side of the wharf" (188B).

As Queeg ordered "emergency back full," the Caine reversed its course leaving a huge, thick shaving over twenty yards long gouged in the pier. In a slower second approach, the bow was secured quickly but the current, along with Queeg's order to back on the wrong screw (propeller), caused the stern to drift out too far and the aft line fell short of its mark. A passing tug finally pushed the stern in and as the lines were secured, several spectators were sarcastically asking if the ship belonged to the Chinese navy.

Queeg screamed for Maryk to pass the word about further restriction to the ship of the entire crew due to the docking fiasco. Maryk hesitated in disbelief and Queeg threatened to triple the punishment if he didn't pass the word stated as follows: "'Due to the lousy seamanship of the after line-handling party, the entire crew is deprived of two days leave'" (190 T).

The Overhaul

Only a skeleton crew remained on the Caine as most men were on leave, including Queeg who went to Arizona to be with his wife. Queeg had left Gorton in charge. Willie was with May Wynn again who had flown from New York to be with him. He told May about the "crate" incident and how Queeg balked at giving him a 72-hour pass until the record had been set straight. Willie stated that he finally felt compelled to admit full responsibility to Queeg and insisted on reimbursing him. Queeg suddenly became very pleasant and signed the three-day pass. As Willie related other facets of his life aboard the Caine, May's response was simply, "'Ye gods, this Queeg, he's a --he's a monster, a maniac'" (193 B).

In the meantime, Maryk took Keefer out on the town since he had grown up in San Francisco and knew the best clubs. Their conversation about the nature of the naval organization as well as Queeg provides some good insight concerning the character of both men which will figure heavily in later circumstances. Away from the ship, both men learned more about each other over a bottle than they had in a year of sailing together. Keefer, of course, was proud to brag about his collegiate background, his literary lectures, and his anticipated success as a novelist. Maryk was flattered by Keefer's probing questions concerning his commercial fishing background.

While Keefer thought such a hardy life would be meaningful and romantic compared to the Navy, Maryk replied that it was a "business for dumb foreigners" like his father. "'I'm dumb, too, but I'm not a foreigner. I'll find something else to do'" (203B). Keefer jokingly asked if Steve means the Navy. "'Okay, I'm stupid. I like the Navy'" (203B). But Keefer protested that at least fishing is honest work with little wasted effort and a purpose.

"You of all people, to want the Navy! Paper, paper, paper--nothing but phony kowtowing and gun-decking and idiotic drills, all to no purpose whatever--utter waste--Christ, and the peacetime Navy--Sunday school every day of the week for grown men--" (203B)

When Maryk forced Keefer to admit that the country needed a Navy for a strong defense, Steve then asked him who is going to man it. "'The Queegs, of course. Not useful citizens'" (204T).

Maryk countered by saying that the Navy did not consist totally of Queegs to which Keefer remarked that Queeg was a product of the Navy system, "'buckled into a monster because his feeble little personality can't stand the pressure of Navy standards'" (204T). Keefer added that Maryk could never fit in to the real Navy because it's a "tight little father-and-son group" much in the tradition of the British governing class. "'You don't shine in--you'd just be one of the lowly timeservers--'" (204M). Maryk quickly interjected that he felt his seamanship

skills would get better results in the Navy than as a commercial fisherman. "'I know seamanship, and I'd damn sight rather put in twenty years for the Navy and get a pension than get arthritis and a sprung back hauling fish out of water'" (204 M). A few days later, Gorton received orders. Keefer was made the senior watch officer, Keith became the new communications officer and Maryk became the executive officer and assumed command of the Caine in Queeg's absence.

Soon after Maryk became the XO, the Caine received orders to suspend all yard repairs not thirty percent complete and report to Pearl within three weeks. Out of consideration for the second section of the crew which had not yet been on leave, Maryk phoned Queeg in Phoenix to request approval for recalling members of the first section so others could go on leave. At first Queeg balked but instructed that for each man returning, another could be sent on one-week leave.

Stillwell brought in a telegram from his brother stating that his mother was near death and requesting that he hurry home. Steve Maryk confronted his first dilemma. Willie pleaded the special circumstances of Stillwell's case confiding to Maryk that the telegram was probably a fake but that Stillwell needed to straighten things out at home. Keith remarked that Stillwell had not really done anything to be "chained up like a beast."

Maryk replied, "'I'm supposed to carry out the captain's orders and intentions. I know damn well what his intentions would be in this case'" (214 M). At last, Maryk relents and gives Stillwell a 72-hour pass with his sworn promise to return on time.

As luck would have it, Queeg returned before Stillwell and was inspecting the crew at morning muster. As Queeg finished his inspection, Keith saw Stillwell sneaking up the gangway. When Queeg asked about Stillwell, Willie told Maryk and the Captain that he had seen Stillwell shortly after muster. Queeg ordered Maryk to have Stillwell put on report for being late to muster. To Willie's surprise, Maryk confessed that he had given Stillwell a 72-hour pass. Queeg was astounded. "'Goddamn it, Steve, what kind of stupid trick was that with Stillwell?'" (217 M).

As Queeg continued his ranting, he said something which startled Maryk. "'I owe all the trouble I had with ComServPac to that little sneak. Remember when we cut the towline?'" (217 M). In Queeg's mind, Stillwell was just playing it smart, trying to get the Captain in trouble by not warning him of imminent danger. Queeg regarded Stillwell as a "vindictive little troublemaker" bearing a grudge but Queeg asserted he would get him. "'I'm gunning for that little squirt and I'm going to get him.'"

Then, Queeg warned Maryk that he didn't appreciate his lack of loyalty, especially in his capacity as executive officer. He also warned Maryk that he still wrote the fitness reports. "'I know damn well that the whole ship is against me You'd just better make up your mind whose side you're on'" (218 T). At this remark, Maryk admitted his mistake and promised never to be disloyal in the future. Queeg shook Maryk's hand and accepted his apology, promising to forget the incident. "'I regard you as a damn good officer, Steve, far and away the best on the ship, and I consider myself lucky to have you'" (218 M). Queeg concludes that he understands Maryk's position between consideration for the men and loyalty to the Captain as second in command. He also gives a rare insight to his self-perception as follows:

"Now, I'm well aware that I'm not the easiest man in the world to get along with, and not the smartest either. I probably have done a lot of things that strike you as damned queer, and I'll probably go right on doing them. I can only see one way to run this ship, Steve, and come hell or high water that's how it's going to be run. And you're my exec, and so you're in the middle. I know all about that. I was exec for the unholyest son of a bitch in the Navy for three months, and during that time I did my duty and was the second unholyest son of a bitch. That's how it goes." (218 B)

The Caine was hastily put back together and on the thirteenth of December she departed San Francisco for Pearl. However, the Caine was "minus some twenty-five of her crew, who had elected court-martial for missing ship rather than another cruise with Queeg" (219 M).

Bad to Worse

Upon reaching Pearl, the Caine received orders to take part in an amphibious assault on Kwajalein, the largest atoll of the Marshall Islands and a key Japanese stronghold. During the time of rehearsals for the assault, Queeg lapsed into a tremendous lassitude. He could be found at almost any hour in his bunk playing with a jigsaw puzzle or emerging only at night to watch the movie on the fore-castle while the ship was in port. At sea, during maneuvers, he would not be seen for days, giving orders to the OOD's through a voice tube. "He stopped coming to the wardroom for meals, and ate almost nothing but enormous quantities of ice cream with maple syrup, brought to his cabin on a tray" (229 T).

Many of the officers figured that Queeg was busy studying the operation order and committing the Caine's mission to memory. However, Willie knew better for he often went to the Captain's cabin with decoded messages. He always found Queeg eating ice cream, sleeping, or reading a magazine. Many times, he found Queeg simply "lying on his back, staring with round eyes at the overhead." Willie surmised that possibly Queeg had had a bad quarrel with his wife during the overhaul or received bad news in the mail. "It never crossed the ensign's mind that the bad news might have been the operations order" (229 M). To Willie, Captain Queeg acted like "a man trying to forget a terrible sorrow."

Queeg began issuing order after order about absurd standards of spotlessness and military appearance. The orders became so numerous that they had to be numbered and were posted daily. Each order always ended with the following statement: "Failure to comply will result in heavy disciplinary action for the entire crew" (231 T). One morning, he found a cigarette butt in a scupper of the forecastle and cancelled liberty for the crew.

As a result, the crew became quite cunning in its ability to work around Queeg's orders. "He was moving now in a curious little circle of compliance that followed him like a spotlight, extending to the range of his eyes and ears; beyond that, the Caine remained the old Caine" (231 M). Outside this circle of compliance, life was just as rough and filthy as before Queeg's arrival. Some of the sailors who enjoyed the dirt, gambling, and sleeping late openly stated that Queeg was the best skipper afloat "just so's you keep out of his sight." But the general feeling of the crew toward Queeg was like an unconscious conspiracy. "The attitude of the crew toward Queeg varied from mild dislike, as a general thing, to poisonous hate in a few men who had run foul of him" (231 B).

As the task force steamed to its rendezvous area near Kwajalein, Willie had the deck (OOD). Willie told Queeg that the Caine was supposed to lead a group of LVT's (tracked landing vehicles) from APA 17 (troop transport).

Keith found Queeg perched on a flagbag talking casually with a signalman as the operation was about to begin. When Willie asked for further orders, Queeg merely giggled and said that Willie could do "whatever he pleased."

Finally, Maryk came to the bridge looking for Queeg as the LVT's began departing the APA, heading for the Caine which was to lead them to a line of departure 4000 yards toward the beach. Queeg stormed to the bridge, told Maryk to take the conn, and then he disappeared again.

As Maryk steered toward the line of departure, he received a signal from the lead LVT requesting the Caine to slow. Steve was just about to give a new engine order when Queeg suddenly reappeared and asked what was going on. Maryk explained but Queeg stated that it was tough luck for the LVT's if they couldn't reach the line of departure by H-hour. "'If they can't keep up with us we'll throw over a dye marker when we reach the spot, and that'll have to do'" (238 M).

When Maryk reported that the line of departure was 1,500 yards, on a bearing of 045° from Roi Island, Queeg screamed that the beach wasn't 1,500 yards and ran to check the bearing on the alidade, even though Urban had just called out a bearing of 064°. Queeg, in a panic, yelled that it was 054° and quickly ordered right full rudder. "'All engines ahead full! Throw over a dye marker!'" (238 B).

The LVT's quickly became bobbing specks astern of the Caine and near them was a giant stain of yellow dye.

Later in the day, Keefer was in the wardroom with Keith and Maryk discussing the incident with the LVT's. Keefer began by saying, "'Well, what did you think of the performance of Old Yellowstain today?'" (240 M). Maryk told him to "knock it off" but Keefer persisted, remarking that Queeg "turned tail" and left the LVT's to navigate for themselves. Turning to Willie, Keefer asked, "'Willie, you had the deck all day. Did you ever see Captain Queeg on the side of the bridge that was exposed to the beach?'" (240 B). In a flash, Willie knew that Queeg never had but tactfully stated he wasn't sure. Keefer laughed, "'Take a bow for trying to protect the honor of the Caine and the Navy'" (241 T).

Suddenly, Queeg came in, rolling the steel balls in his hand. He complained about missing several numbers of decoded messages and told Keefer that Ducely (a new ensign) had not submitted his next assignment. Reminding Keefer to check his "smart-alecky tones," Queeg abruptly left the wardroom.

Keefer laughed again. "'Invasion or no invasion, Ducely does his assignment. You never saw a more fearless wielder of a checklist than Old Yellowstain--'" (242 M). Maryk interrupted and told Keefer to refer to Queeg only as Captain Queeg. "'None of this Old Yellowstain or anything but plain Captain Queeg'" (242 M).

As Maryk and Keefer left the wardroom, Keith was left alone with Harding, an ensign who had been silently listening to the conversation. Looking at Willy, Harding said, "'The purpose of a captain is to get us out of jams, Willie, not to check off due dates on reports and assignments'" (243 T). Noting that he was a graduate CPA who had volunteered for the Navy, Harding said he didn't mind counting O'Henry bars in the ship's store for audit if it would help the war effort. "'But in return the Navy's supposed to give me a ship that goes, and a captain that fights--That's what all this muck is for isn't it'" (243 M). Willie's answer was "'We're stuck with a lemon. Misfortune of war'" (243 M).

The next day, two action messages came in and Willie decoded them in Queeg's presence. The first was a new mission for the Caine to proceed to Funafuti Atoll for escort duty of a group of LST's (landing ships for tanks). The second message was from BuPers which ordered LTJG Rabbitt to leave the Caine and report to the DMS OAKS under construction in San Francisco. Queeg snatched the second message and turned to Willie. "'I and I alone will decide when Mr. Rabbitt is to know about his orders, understand me?'" (247 T). When Willie protested that the orders were addressed to Rabbitt, Queeg countered as follows: "'For your information, this message is addressed to the Caine, of which I am the captain, and I can detail Mr.

Rabbitt at my pleasure, now that I know the desires of the Bureau'" (247 T). Queeg added that Rabbitt would be released only when a satisfactory relief had been thoroughly trained, possibly taking four or five months.

The next day, a new commander followed Queeg into the Caine's wardroom as Willie was busily decoding messages. During the conversation, Willie overheard Commander Frazier tell Queeg that he was going to command a new DMS called the Oaks and that he was visiting the Caine to get the "feel" of a DMS since he had recently commanded a destroyer. Willie couldn't believe it when Frazier also told Queeg that he wanted to take Rabbitt back with him the next day. Having received a copy of Rabbitt's orders, Frazier was glad to have an experienced first lieutenant fly back with him to his new command. Though Frazier appreciated Queeg's remarks about training a new relief, he told Queeg that Rabbitt would be leaving with him for the States. Queeg had to obey and suppress his anger, clacking the steel balls in his left hand. "Within the hour Captain Queeg threw a fearful tantrum" (251 M).

In the days following Frazier's and Rabbitt's departure, Queeg became even more isolated from his officers and crew. "It had become instinctive with all the officers to listen for the clang of the captain's door, and to spring into attitudes of virtue as soon as they heard it" (254 T). They would immediately appear to be

working earnestly on something official. When Paynter brought him the daily fuel and water report just prior to deployment for Funafuti Atoll, it showed that the crew's water consumption had been ten percent above normal during the Kwajalein operation. Queeg went into a rage. "'No water for officers' and crew's personal use for forty-eight hours! Maybe that'll show'em I mean business, here!'" (251 M).

En route to Funafuti Atoll, the Caine had a following wind which made the relative wind off the bow virtually zero. Very little wind was passing through the deck ventilators to relieve the crew below. The stack residue was settling on the deck and the men walked around with parched tongues and soaked uniforms from sweat. After 24 hours, Maryk went to see Queeg who was languishing in his bunk under two small fans directed at his face.

Maryk asked Queeg to secure the water regulation due to the extraordinary wind conditions. Queeg replied that Maryk was missing the point completely. "'The point is, the men on this ship have been wasting water, and for their own good they've got to be taught a lesson, that's all'" (252 M). Arguing that he is just as concerned as Maryk about the men's welfare, Queeg asserts that he will not change his initial decision. "'If these men get the idea that I'm one of these shilly-shallyers who doesn't mean what he says there'll be no controlling them'" (252 M).

Even when Maryk pointed out that increased water consumption was normal during an invasion like Kwajalein, Queeg cut him off without further argument.

Only fifty miles from the equator, the Caine continued to steam with no relief from the wind. Dirty, half-naked bodies, sprawled on the rusty deck plates at night using life jackets as pillows. As the sun rose each day, the air became hotter and more humid. "And still the ship wallowed over the glittering sea, trapped in its own stench of stack gas and cabbages" (253 M). Finally, the men revolted in their own covert way. "The black gang began to bootleg water in the after engine room where the evaporators were, so that no pressure would be found by Queeg in any pipes" (253 M). Even though the officers were "unanimously disloyal" to Queeg, they did not participate in what the crew was doing. When Paynter reported the large number of sailors violating Queeg's orders, Maryk replied, "'Can't hear a word you're saying. Stack gas has got my ears ringing'" (253 B).

Jorgensen, another new ensign, sneaked into the officers' head late in the second day and drained the water in the pipes over his body from the shower nozzle. At that moment, Queeg entered the head and, staring fixedly at Jorgensen, told him to convey the following order to Maryk. "'The crew's water restriction goes off at five o'clock. The officers' restriction will continue for another

forty-eight hours'" (254 B). The officers cursed Jorgensen in their own private manner but openly remained unanimous in their feeling toward Queeg. "There was nothing to do but suffer, and slander the captain. The officers did plenty of both" (255 T).

Stillwell's Court Martial

When Queeg had learned of Stillwell's 72-hour pass, he had wired the Red Cross near Stillwell's hometown to confirm his doubts of Stillwell's truthfulness. A letter was received from the Red Cross which disputed the veracity of Stillwell's concern for his mother's health. Queeg ordered a summary court-martial for Stillwell with Lieutenant Keith as recorder.

Willie studied his duties in a copy of Courts and Boards which indicated that his function would be a combination of prosecutor and legal adviser for the captain. Captain Queeg summoned Willie to his cabin both to congratulate him on his recent promotion to Lieutenant and to make sure he understood his assigned duties as recorder for Stillwell's court-martial. Queeg was very direct in what he expected of Willie and the court board.

"I've been a recorder five, six times and the last thing I know anything about--or want to know anything about--is law. The important thing is to have a yeoman who's on the ball and gets the whole thing typed up right, according to the form in the book Stillwell's going to get a bad-conduct discharge and I want to be damn sure it sticks." (259 B)

When Willie asked how the captain knew what the court's decision would be, Queeg became adamant. "'Hell, he's guilty, isn't he? A fraud like that calls for the stiffest sentence a summary court can give, which is a BCD'" (260T). As Queeg showed Willie a written confession signed by Stillwell, he remarked that the court-martial was a mere formality in legal procedure.

Later, as Willie studied Stillwell's confession, he became increasingly concerned and underlined several sentences in Courts and Boards under the section on confession. He sent for Stillwell who explained the circumstances of signing the written confession. Stillwell quoted Queeg's explanation of his legal choices as follows: "'Take your choice. A clean breast of it, and a summary court on the ship, or try to bluff through, and get yourself a general court back in the States, and probably ten years'" (260B). Unofficially, Willie advised Stillwell to plead "not guilty" since there was no evidence that he instigated the fraudulent wire from his brother and the fact that the confession had been obtained under duress. Stillwell took Willie's advice, and Willie reported Stillwell's change of mind to Queeg.

Queeg was livid with rage and demanded that Stillwell be sent to his cabin immediately. After more than an hour in Queeg's cabin, Stillwell emerged visibly shaken with his copy of Courts and Boards in one hand and a sheet

of paper in the other. In effect, the paper was a statement, signed by Stillwell, that his initial confession had been obtained without duress and no promise of better treatment. When Willie told Stillwell that the second paper was signed under duress too, Stillwell flung Courts and Boards over the side and cursed at Willie. "'I never heard of duress! Keep your goddamn nose out of my business!'" (263 B).

When Willie related the extortion incident to Maryk and Keefer during a beer party on the beach, Keefer looked at Maryk and asked in a very grave tone, "'Steve, has the thought ever occurred to you that Captain Queeg may be insane?'" (264 B). When Maryk asked Keefer not to spoil a good afternoon, Keefer persisted in his psychiatric diagnosis. "'It's the clearest picture I've ever seen of a psychopathic personality. He's a paranoid, with an obsessive-compulsive syndrome'" (264 B). Maryk asserts that everyone is idiosyncratic to some degree but Keefer feels that Queeg is a "Freudian delight" in outward symptoms (the shirttail obsession, ice cream mania, inability to look one in the eye, talking in slogans). Admitting that most people are psychopathic to some degree, Keefer thinks Queeg is an extreme example, "bordering on the twilight zone between eccentricity and real psychosis." Finally, Keefer refers back to the "yellowstain" incident in his analysis. "'And because he's a coward, I think that being in a combat zone is beginning to drive him over the red line'" (265 T).

Maryk downgraded Keefer's analysis by saying that "'Captain Queeg is nothing but a strict guy who likes his own way and there are a thousand skippers more or less like him'" (265 M). Noting that Keefer's theories sound convincing, Maryk said that everybody is a "screwball" to some extent and that "'common sense is worth more than all the talk and all the books in the world'" (265 M).

But Keefer stated that Queeg's desire to "rig" Stillwell's court-martial went against all Navy principles based on consideration for the enlisted man. "'You know damn well that the enlisted man is God in this Navy. For two reasons, first, because he is the Navy, and second, because his relatives back home pay the Navy's appropriations'" (265 B). Keefer went on to note that regulations fairly "bristle" with enlisted men's rights. "'Queeg's juggling dynamite and giggling happily'" (265 B).

The next day, Keefer headed the summary court-martial board. In very brief terms Stillwell pleaded guilty on charges of fraud, but added, "'I didn't think reading a comic book at the gangway was enough reason to ruin my life'" (266 B). After half an hour, Keefer cleared the court except for the two other officers on the Board (Harding and Paynter). Forty minutes later, Keith brought Stillwell in and recorded the following verdict read by Keefer who seemed almost amused. "'Court finds specification proved by plea. Sentence is loss of six liberties'" (267 T). Willie

recorded the sentence realizing that it was virtually meaningless and a direct insult to Queeg. Within five minutes after Queeg read the court's decision in his cabin, he ordered Maryk to pass the word for all officers to assemble in the wardroom.

Queeg entered the wardroom with hunched shoulders and rage could be seen in his demeanor. Saying that he was convinced that there was absolutely no loyalty aboard ship, Queeg instituted a new edict which was based on demerits given for any mistake. A certain number of demerits would mean an unsatisfactory fitness report. "'As I say, if you gentlemen had played ball with me I might have played ball with you, but you gentlemen have made your bed and now you're going to get the book thrown at you'" (268 T). Just before storming out of the wardroom, Queeg referred to Stillwell's court-martial as "goddamn childish vindictive stupidity."

Later in the day, Maryk went to see Keefer about Queeg's reaction to the court-martial. Asking why Queeg must hate Stillwell so much, Keefer replied with a reference to Melville's Billy Budd. "'He hates Stillwell for being handsome, healthy, young, competent, and naturally popular and attractive--all the things that Queeg is not'" (268 M). Noting that "infantilism" is very strong in Queeg's character, Keefer stated that "'Stillwell is a symbol of

all the captain's frustrations, all the things he would like to smash because he can't have them, like a child wanting to break another child's toys'" (268M). Keefer then got a little deep in theory when he added that Queeg's "repressed desire" turns to hate based on an unconscious, violent "repressed inversion."

Maryk admitted that Keefer's theory sounded good and must be profound. "'I'm just a dumb comic-book reader who made a straight C-minus at college. But I know a fact or two that you don't'" (268 B). Maryk told Keefer that the captain was out to get Stillwell because he believed Stillwell deliberately caused the Caine's towline to be cut, resulting in the trouble with ComServPac. Keefer couldn't believe this since he didn't think Queeg realized that the Caine cut its own townlin. But Maryk added, "'He realizes. He told me in San Francisco what I just told you'" (269 T).

Maryk then asked Keefer if he would accompany him to see a medical officer aboard the Pluto (a supply ship) and relate what they had been discussing about Queeg. Keefer backed off saying that it was Maryk's responsibility as second in command. But Maryk said that he couldn't explain the psychological terms to convince the medical officer that Queeg might be crazy. Tom quickly interjected that he never said Queeg was crazy but only "teetering on the edge" which makes him almost impossible to diagnose since Queeg's kind can shrink back into the "most convincing goddamn

normal attitudes you ever saw." Adding that he and Maryk would only "hang" themselves, Keefer stated that only a state-side clinic could see through a Queeg who treads a "thin line between being a bastard and being a lunatic." Maryk concluded the conversation by telling Keefer that if he wasn't going "to put up" by going to a medical officer about Queeg, then he should shut up his talk about Queeg's sanity. As Keefer left the room, Maryk returned to a copy of a psychology text called Mental Disorders.

The Screw Tightens

In the months that followed, Maryk worked increasingly late at night on a secret log while telling everyone that it was simply paper work that had to be done. "Actually, Maryk had begun a record of the captain's eccentricities and oppressions, labeled 'Medical Log on Lieutenant Commander Queeg'" (270 B). Knowing that Queeg had the combinations to the ship's safes, Maryk changed his and gave the new combination to Keith in a sealed envelope with instructions to open the safe only in the event of his death or disappearance.

Also, over the months following Stillwell's Court-martial, the Caine was attached to the Seventh Fleet and began a long tour of "grinding, nerve-rasping" duty of monotonous escort service for slow-moving amphibious ships. "During this captivity Captain Queeg became more irascible, secluded and strange" (271 M). When he occasionally emerged

from his cabin, Queeg would become caught up in some outrage prompted by some minor infraction of his rules. Each incident was noted by Maryk and recorded in his personal log.

He incarcerated sailors and put officers under hack; he cut off water, he cut off coffee . . . He made endless demands for written reports and investigations. . . . Once he kept all the officers sitting in session for forty-eight hours, trying to find out which mess boy had burned out a Silex . . . He developed a settled habit of summoning officers for conferences in the middle of the night. . . . They averaged four or five hours of broken sleep a night. A gray mist of fatigue settled over their minds. (271 M)

Finally, the Caine was relieved from escort duty and assigned to help screen a main body of attack transports going to Saipan. As the invasion began, the Caine was assigned an anti-submarine patrol sector about two miles from the beach. Suddenly, the destroyer Stanfield became straddled by a Japanese gun battery from the beach. Towers of white water appeared all around the Stanfield as she attempted to return the fire with five-inch guns. Willie had the deck and requested permission from Queeg to open fire on the enemy gun emplacement. Seeming not to hear Willie who shouted that the gun crews were "locked on," Queeg ordered right standard rudder and all engines ahead full. "The minesweeper was now headed directly away from the shore battery, leaping through the water at twenty knots" (274 T).

After the Stanfield incident, Queeg's rage began to focus on Keith rather than Keefer. "Once the captain's

favorite, he had suddenly become the wardroom goat" (275 B). Life aboard ship became "a static vexatious weariness." As the Caine was continually reassigned all over the Pacific, Queeg became more and more withdrawn and Maryk's log entries began to dwindle. "All personalities had been explored, and even Queeg, it seemed, had at last run through his surprises" (275 M). Willie, like most of the other officers and men, had developed a kind of dull hatred towards Queeg.

It was like the hate of a husband for a sick wife, a mature, solid hate, caused by an unbreakable tie to a loathsome person, and existing not as a self-justification, but for the rotten gleam of pleasure it gave off in the continuing gloom. (276 T)

By September, Queeg had been aboard a year and the messages were closely monitored for the arrival of orders for a new skipper. The crew had changed dramatically since the days under De Vriess. "Eccentricities, those fungi of loneliness and boredom, began to flourish rankly on the Caine" (276 B). The men began to have their beards and hair cut in various shapes such as hearts, crosses and stars. Paynter caught a giant fiddler crab and kept it in his room, walking it at the end of a long string on the forecastle at night. Ensign Ducely fell in love with a woman in a corset advertisement in the New Yorker and swore it was the girl he was destined to marry. "He languished on his bunk, sighing over the corset ad, by day and by night" (277 T). Willie wrote wildly passionate letters to May

Wynn for she became the symbol of his longed-for civilian reality. However, "reality was the rolling minesweeper, and the sea, and shabby khakis, and binoculars, and the captain's buzzer" (278 M).

Eventually, the Caine was assigned target-towing duty near Ulithi. The tedious routine of towing the target sled out each morning and towing it back in at dusk had a marked effect on Queeg. He became more cantankerous than ever, often lashing out at everyone in the pilothouse. Suddenly he lapsed into a comatose condition and turned over all conning duty to Maryk. "Occasionally in fog or rain he would come to the bridge and take the conn. Otherwise he lay in his bunk, day and night, reading or playing with a jigsaw puzzle, or staring" (279 M).

A few days later, Queeg called a meeting of all officers in the wardroom at 3:00 o'clock in the morning. It seemed that Whittaker, the head steward, had brought Queeg his usual ice cream but without the strawberry topping which Queeg loved so much. After going over the disposition of strawberries recently received aboard, Queeg was convinced that someone had stolen the last quart of strawberries by making a duplicate key to the food locker. Determined to catch the culprit, Queeg wanted an investigation launched immediately with an arrest made by 8:00 o'clock. Maryk was appointed head of the investigation team which consisted of all the officers.

Everyone was interviewed and Maryk reported that the investigation was a dead end. But Queeg ordered a stem-to-stern search of the ship for the duplicate key which he was convinced had been made. Additionally, he ordered that all keys be turned in, tagged, and accounted for despite the fact that over two thousand existed on the Caine. Lastly, each sailor was to be stripped down and searched for the duplicate key.

As the various phases of "Operation Strawberry" were carried out, Queeg became increasingly cheerful, very pleased with himself. He continued to talk about how he looked forward to an arrest being made and that he even knew who the culprit was. However, during the height of the investigation, Ducely was leaving the Caine under new orders and confided to Keith that he had seen several stewards taking the strawberries late at night. Willie conveyed this to Queeg but the captain dismissed it as one of Ducely's pranks. Later, however, the leading chief Porteus reported that another chief had seen the stewards take the strawberries, confirming Ducely's story. The effect on Queeg was devastating. "Queeg pulled steel balls out of his pocket and began to roll them. The happy look was fading from his face, the sick wrinkles reappearing" (307 T).

The strawberry incident was too much. Keefer had not made any references to Queeg's sanity since Stillwell's court-martial but now he felt Queeg had crossed the "red

line." In private, Keefer asked Maryk, "'Well, Steve-- is he, or is he not, a raving lunatic?'" (298B). Maryk showed Keefer his private log on Queeg and asked him to read it in his presence. When Keefer put the folder down, he looked at Maryk and said, "'I congratulate you. It's a clinical picture of a paranoiac, a full case history, not a doubt in the world of it. You've got him, Steve'" (309 B). Maryk then stated that he was ready to turn in Queeg's case to ComFifthFleet under Article 184 and asked Keefer if he would accompany him. Again Keefer hesitated but Maryk persisted. "'I'm going to be walking in on admirals and they'll be calling in doctors, and I just can't present the thing myself'" (310 T). Finally, Keefer relented, thinking of the time he could have seen his brother, Rowland, on a nearby carrier but had been thwarted by Queeg. The next week, Keefer's brother was killed in action trying to save other lives aboard the carrier. Going with Maryk was a way to put Queeg away.

ComFifthFleet happened to be Admiral William F. ("Bull") Halsey whose flagship was the battleship U.S.S. New Jersey. Maryk and Keefer engaged in nervous conversation as they approached the New Jersey armed with Maryk's log. Keefer remarked, "'I don't know how I'll like looking Halsey in the eye and telling him I've got a crazy captain'" (312 T). Adding that the Captain did handle the ship fairly well in a recent storm, Keefer commented how difficult it

was going to be to prove their case. "'It's amazing how cleverly these paranoids walk the narrow dividing line between outright lunacy and acts which can be logically explained'" (312 M).

As Maryk and Keefer ascended the gangway, they were impressed with the awesomeness of the New Jersey. Everything was not only immaculate but gigantic as well. A single gun turret weighed more than the entire Caine and "one link of the battleship's anchor chain would have stretched across the minesweeper's bow." Unable to locate Halsey's aide, the two men stopped before Halsey's door with brass nameplate and four silver stars. Keefer grabbed Maryk and hurried him outside. He nervously told Maryk that the New Jersey was the real Navy and that the Caine was a "booby hatch" by comparison. "'Everybody's Asiatic on the Caine, and you and I must be the worst of all, to think we could get away with pulling Article 184 on Queeg'" (314 B). Keefer excitedly explains that after the war he is going to be a "scribbler" again but that Maryk was jeopardizing his career. "'You'll smash yourself, Steve, against a stone wall. You'll be finished in the Navy forever'" (315 T). Noting that the log would be convincing for a competent psychiatrist, Keefer reminds Maryk that they have to present the evidence to the Navy comprised of "benighted bastards." He continues to plead with Steve. "'Sure, they can conn ships, and fight, but their minds are

back in the feudal system! What the hell does Halsey know or care about paranoia?" (315 M). But Maryk says he can't go steaming around any longer with a skipper who's crazy, to which Keefer answers: "'That's by your standards. By Navy standards, for all you know, he's still a commendable disciplinarian'" (315 B). At last, Maryk backs down after Keefer admits he's scared. As they await the gig, Maryk remarks that Tom had really started the whole "paranoia" thing about Queeg but didn't want to go through with the evidence. "'Your trouble is, you want to back down when the going looks tough, and you also want me to congratulate you for doing it. You can't have it both ways, Tom. That's like Queeg'" (316 M).

The Mutiny

It was the height of the typhoon season as the Caine and Halsey's task force steamed out of Ulithi Lagoon bound for the assault on Luzon. Keith was assisting Maryk in the plotting of sighted typhoons which Queeg watched daily with increasing interest. At one point in the transit, it appeared inevitable that the task force would be caught up in the path of a large typhoon. Halsey began to have the destroyers refuel since many were down to ten percent capacity and would need plenty of fuel to ride out the storm. As the seas began to rise, Willie became amazed at the size and power of the swells. "They were as

tall as apartment houses, marching by majestic and rhythmic; the Caine was a little taxicab among them" (235 B). Fuel lines and span wires began to part as the roll and pitch of the ships became extreme. It was almost impossible to maintain stations in the tactical formation as well as ordered course and speed. The barometer stood at 29.05 and continued to drop as the typhoon hit full force with winds up to 150 miles per hour.

It should be noted that destroyers are built primarily for power and even the Caine which weighed a little over one thousand tons could oppose gale force winds with thirty thousand horsepower, "enough to move a weight of a half million tons one foot in one minute." Since the rudder works by dragging against the water, it can become almost useless if the wind of gale force becomes astern of a ship since "the water may start piling along as fast as the rudder so that there is no drag at all." At this point a ship may yaw or even broach to (when a ship becomes broadside to the wind and is in danger of capsizing).

The typhoon's worst weapon is the psychological terror it can impose on men with its eerie sounds and erratic effects on a ship. It is capable of distracting a captain from doing the sensible thing and if the wind can keep a ship wallowing broadside long enough, the engines can be killed and then the typhoon wins. "A destroyer deprived

of its engines in a typhoon is almost certain to capsize, or else fill up and sink" (329 M). Most authorities on handling ships in typhoons are not in full agreement enough to make exacting generalizations. However, "when things get really bad, the books say, the best idea is to turn the ship's head into the wind and sea and ride out the blow that way" (329 M). The authorities do agree in one respect as follows: "A modern warship, functioning properly and handled with wisdom, can probably ride out any typhoon" (329 T).

The last order from Halsey was for the formation to discontinue fueling and reorient the screen on new fleet course 180° with all units to make best speed. Maryk had to use hard right rudder and manipulate the engines by ordering standard speed on the port screw and backing on the starboard screw to bring the ship's head around to the new course. The sea state was so bad that the radar scope showed nothing but "grass" (clutter) which made it impossible to check ranges and bearings for proper station in the formation.

Maryk also recommended to Queeg that all depth charges should be put on safety and that ballasting fuel tanks would increase the Caine's weight to aid in maneuverability. Queeg refused both recommendations noting that a submarine could still be picked up in the next five minutes and that Halsey had not ordered ballasting for any units.

At this point, Stillwell who had the helm remarked to Queeg that the depth charges were already set on safe by order of Tom Keefer (the deck officer) whenever the seas became too rough. Queeg blew up at Stillwell. "'You speak when you're spoken to, you goddamned imbecile, and not otherwise!'" (332 B).

A few minutes later, Stillwell called out that he had full rudder on but the Caine was losing her 180° heading and being pushed by the wind toward a more easterly heading. Queeg checked the compass reading and then leaped to the EOT (engine order telegraph). Grasping the handles, he rang up flank speed on the port engine and "stop" on the starboard engine. The Caine was beginning to "heel" to starboard and was taking on so much water that she could not right herself. "Willie's face was pushed against the window and he saw water no more than inches from his eyes" (333 B). Noticing that Queeg's last order was not bringing the bow to starboard, Maryk told Queeg that the Caine was "broaching to" and that he must back the starboard engine! "Queeg, clinging to the telegraph with his knees and arms, threw him a frightened glance, his skin greenish, and obediently slid the handle backward" (333 B). Queeg remained frozen to the telegraph stand, oblivious to the situation as Maryk continued to give rudder orders which gradually brought the Caine back on course.

Suddenly, a huge gust of wind and sea knocked the Caine to port once again and Maryk recommended ballasting the stern tanks if Queeg wished to remain steaming before the wind. This would enable rudder and engine orders to become more effective. "The captain's face was screwed up as though he were looking at a bright light" (336 M). After a moment or two, Queeg simply uttered a "negative" to Maryk's request. Then, the Caine's bow started coming fast to port as she began yawing badly before the wind. Maryk recommended that the ship head into the wind to avoid "broaching to." Queeg calmly answered, "We've received no orders to maneuver at discretion--" (336 B). At that instant, a huge wave crashed over the pilot house, gushing water up to Willie's knees. Maryk screamed, "'Sir, we're shipping water on the goddamn bridge! We've got to come around into the wind!'" (337 T). Suddenly the Caine lurched almost completely on her port side and everyone but Stillwell went sliding across the deck and piled up against the windows. Queeg was still frozen to the telegraph with a look of horror on his face. "Maryk crawled across the deck, threw himself on the engine-room telegraph, wrested the handles from Queeg's spasmodic grip, and reversed the settings" (337 M). Like most of the other officers, Willie had lost his bearings and could not immediately appreciate the logic of what Maryk was doing, using the twisting momentum of the ship to bring her around into the wind on a northerly course.

The Caine began to ride easier as Maryk ordered Stillwell to steady on course 000° (due north and opposite of 180°). "The captain, blinking and shaking his head as though he had just awakened, said, 'Come left to 180'" (338 M). Queeg's voice was faint as he looked glassily ahead and he reminded Maryk not to disobey his orders. However, Maryk ordered Stillwell to maintain 000° and told Queeg that there was no way to check the formation course since the radio antennas were down and the radars remained completely cluttered. Stillwell stood frozen in panic as Queeg again ordered him to come left to course 180. At this point, Maryk told Willie to note the exact time in the OOD log. Striding over to Queeg, Maryk saluted him and said, "'Captain, I'm sorry, sir, you're a very sick man. I am temporarily relieving you of this ship, under Article 184 of Navy Regulations'" (339 T). Queeg again ordered Stillwell to come left and Stillwell looked to Willie Keith who was still OOD. "'Steady on 000, Stillwell. Mr. Maryk has the responsibility. Captain Queeg is sick'" (339 B). Queeg ordered both Maryk and Keith below, placing them under personal arrest.

Ignoring Queeg, Willie buzzed the fireroom and ordered Paynter to ballast all empty tanks as Maryk ordered all available officers to the bridge. In the meantime, Willie reported that the barometer was up to 29.00 and rising. The storm was beginning to subside.

Under Queeg's protest of mutinous conduct, Maryk explained his actions to the assembled officers and stated that his commands would be obeyed as temporary captain of the ship. Queeg screamed that all the officers would "hang" with Keith and Maryk for collusion in mutiny. But Maryk calmly assured the officers that he alone was responsible and would face charges in a court-martial to determine if his action was justified under Article 184.

Suddenly Stillwell yelled that something large was directly up ahead. Ordering hard right rudder, Maryk squinted through the ocean spray and recognized the long, red hull of a capsized destroyer. "It slipped slowly down the port side, endlessly long and red, rolling gently under the breaking waves" (341 B). Maryk took charge of a search for survivors and circled the destroyer's hull twice but only three men were found. One of the survivors identified the destroyer as the George Black and related his tale of horror. "The George Black had been thrown broadside to the wind and all combinations of engines and rudder had failed to bring it around" (344 M). With water flooding the ventilators and engine rooms, the destroyer had simply rolled to starboard and never righted herself.

As Maryk continued to issue orders, Queeg turned once again to the officers. "'You'll be interested to know, gentlemen, that I was about to issue orders to ballast and head into the wind when Mr. Maryk committed his panic-stricken

criminal act'" (344 T). Maryk ordered Queeg below unless he refrained from speaking on the bridge. Queeg replied that the Caine was still his responsibility regardless of the mutiny. "'I shall not speak unless your acts appear to me to be endangering my ship'" (345 T). So Queeg remained sullenly on the bridge, Maryk continued to issue all conning orders and Keefer relieved Keith as OOD. As Willie left the bridge, he muttered, "'God help us all.'"

The Court-Martial

Captain Theodore Breakstone, district legal officer for Com Twelve, was having difficulty finding a legal officer for Maryk's defense due to the sensitivity of the case. His assistant, LCDR Challee, finally came up with a good prospect in LT Barney Greenwald, USNR. Challee reported that he had gone through Georgetown Law with Greenwald. Before the War, Greenwald had had a very successful practice specializing in Indian cases. Greenwald had gone through the V-7 program, switched over to aviation, and become a fighter pilot with two Japs to his credit. He was presently on temporary limited duty to Com Twelve legal recovering from severe burns in an aircraft accident. Challee recommended him because Greenwald had a reputation for winning cases for "underdogs."

Captain Breakstone interviewed Greenwald privately to sound him out on his views on the case. In an almost arrogant manner, Greenwald stated that if the case was

"handled with any brains," Maryk, Keith, and Stillwell would be acquitted because the charge of mutiny was absurd since no force or disrespect was used. "'The toughest charge that could possibly stick would be conduct to the prejudice of good order or discipline'" (351 M).

After Breakstone told Greenwald that Challee would be the prosecutor for the Navy, Greenwald again stated that he didn't want to become involved. He further stated that the psychiatrists' reports proved that Queeg was not crazy and that the accused were wrong in their actions. Asserting that he was a "damned good lawyer and a very expensive one," Greenwald said he didn't want to contribute his services in acquitting the defendants. "'These fools find a paragraph in Navy Regs that gives them ideas, and they gang up on a skipper who's mean and stupid--as a lot of skippers are--and make jackasses of themselves and put a ship out of action'" (352 T). However, Greenwald finally consented to accept the case and visited his client, Maryk, the next day.

Greenwald questioned Maryk about relieving Queeg and the information Maryk had given the investigating officer. Maryk flatly stated that he relieved Queeg because he thought "he was nuts" and became irritated as he perceived Greenwald couldn't appreciate the circumstances of his action. "'I'll tell you this, the same things seem goddamn different in the middle of a typhoon when they're happening, and six thousand miles away in the Federal Office building when you're talking about them--'" (354 B). Adding that he

wasn't trying to take over the ship, Maryk stated that he was simply trying to save the ship. Greenwald advised him to plead "not guilty" since there was no "criminal intent."

When Greenwald said he would rather be prosecuting than defending in this case, Maryk was astounded. "'I don't know yet just how guilty you are. But you're either a mutineer or one of the dumbest goofs in the whole Navy'" (356 M). Maryk reported that the only way for his action to be proved right was if the Caine and her crew were at the bottom of the sea. Noting that three destroyers went down in that particular typhoon, Greenwald interjected, "'Sure. About forty of them stayed afloat, though, without the exec relieving the skipper'" (356 B).

After hearing the entire story about events leading up to the typhoon, Greenwald comments about Keefer. "'Well, I'll tell you, Maryk. Your sensitive novelist friend is the villain of this foul-up, all right, but it doesn't do us any good--'" (357 B). Greenwald felt that Keefer somehow knew what the outcome would be in a real showdown about Queeg's mental condition, which explained his backing down on the New Jersey. As Greenwald left, he turned to Maryk, "'You're really a great naval hero. I'll be seeing you'" (359 M).

The general court-martial board consisted of Captain Blakely, the "toughest disciplinarian of Com Twelve," one regular lieutenant commander, and five lieutenants. One

of the lieutenants was regular line, two were reserve line, and two were naval reserve doctors. The trial began with the reading of the specification against Maryk as follows:

In that Lieutenant Stephen Maryk, USNR, on or about December 18, 1944, aboard the USS Caine, willfully, without proper authority, and without justifiable cause, did relieve from his duty as commanding officer Lieutenant Commander Philip Francis Queeg, USN, the duly assigned commanding officer of said ship who was then and there in lawful exercise of his command, the United States then being in a state of war. (300 M)

The key words which Greenwald had to disprove were "without proper authority and without justifiable cause" which implied criminal intent. The judge advocate anticipated that Greenwald would try to establish the fact that Maryk had acted for the good of the service despite his mistaken diagnosis of Queeg's mental competence. At the very least, Maryk could be convicted of "conduct to the prejudice of good order and discipline" which was usually invoked in cases of this complexity. "If this were not true, if the precedent set by Maryk were to go unpunished, the entire Navy chain of command was in jeopardy!" (381 M). In a sense, any skipper who seemed odd to his exec was in danger of being relieved.

For his first witness, Challee called LCDR Philip Francis Queeg. Maryk had not seen him for almost two months and couldn't believe the Queeg he saw now. "The man before him was erect, confident, and good-looking--and youthful despite the few blond strands over a pink scalp" (384 T).

Queeg testified that Maryk had opposed his stern measures to bring the Caine "up to snuff" almost from the start. Noting that Maryk had always been conceited about his seamanship, Queeg remarked that Maryk suffered under the delusion that only he could save the ship in the typhoon. Queeg asserted that Maryk simply went into a panic and acted irrationally. He added that the incident would not have occurred if Keith and Stillwell had not been on watch at the time since these men hated him as much as Maryk. Any other officer or helmsman would have obeyed his orders.

Queeg continued to maintain a calm, dignified, military bearing as further questions about his record of fourteen years' service were put to him. He had received no unsatisfactory fitness reports, his medical record from the Academy to the present was without blemish or unusual illness, and he had one letter of commendation in his jacket. Each incident of the past was handled by Queeg in a rational manner with cool logic which made his answers convincing in the best traditions of the Navy.

Greenwald would have to find a way to discredit Queeg in terms of naval standards of competence based on the phrase in Article 185 which states that the conclusion to relieve a commanding officer must be one which a "reasonable, prudent and experienced officer would regard as necessary from the facts thus determined to exist" (387 M). The second witness called was Tom Keefer.

Keefer was asked why he took no action to restore Queeg to command since he was third in command. Keefer admitted that he had not been present when Queeg was relieved and therefore was not cognizant of the circumstances. . To try to override Maryk might have been considered mutinous in itself. Maryk bit his knuckle as Keefer was asked if at any time aboard the Caine he ever considered Queeg insane. Keefer hesitated, looked at Maryk, then away from him. "I don't--I can't answer that question intelligently, not being a psychiatrist'" (390 B). When questioned about Maryk's log on Queeg and the aborted visit to Halsey, Keefer began to squirm in his seat. Commenting that the log showed Queeg to be unpleasant and severe, it in no way implicated insanity in his opinion. "'But to jump from them to a conclusion that the captain was a maniac--I was compelled in all honesty to warn Maryk against doing that'" (393 T). Maryk began to sink in his chair as other Caine officers and sailors responded much like Keefer in testimony after testimony. Queeg had not done anything insane before, during, or after the typhoon. Even when Willie testified that Queeg was not in possession of his faculties, frozen in terror during the typhoon, Challee discredited his observations due to Willie's lack of sufficient experience at sea to judge a superior officer's ability at seamanship. Deep down, Willie had never believed the Captain insane. "Stupid, mean, vicious, cowardly, incompetent, yes--but sane" (404 T).

Greenwald began his attack using Keith to discredit Queeg on grounds of cowardice. As he started to question Willy about the "yellowstain" incident and the Stanfield fiasco, Challee objected but was overruled. For the first time the Board began to stare at Queeg in a frowning manner. Captain Blakely warned Greenwald that he was on extremely sensitive ground since naval regulations (Article 4, sections 13 and 14) specified a maximum punishment of death to any naval officer in time of battle who "displays cowardice, negligence, or disaffection, or withdraws from or keeps out of danger to which he should expose himself" (405 T). Then, as Willie explained Queeg's extortion of money from him in the liquor incident, Captain Blakely began to grimace horribly.

After Willie's testimony, Challee called his "expert" on shiphandling, Captain Southard, who had held many commands on destroyers and was now commander of a destroyer squadron. Southard was quick to condemn Maryk's course of action as improper. When Greenwald asked Southard if he had ever conned a DMS, the reply was negative. Then Greenwald asked him if he had ever been in a typhoon and the answer was also negative. Dismissing Southard's remarks as hypothetical, Greenwald asked Southard what he would do in the circumstances described by Maryk. "'In the last extremity I'd head into the wind if I could. Only in the last extremity'" (408 T).

Challee leaped to his feet and asked Southard who was the best judge as to whether a ship was in its last extremity. "'There is only one judge. The commanding officer'" (408 M). Noting that it is common for more junior officers to panic when a ship goes through bad weather, Captain Southard added that the Navy designates a commanding officer because "his knowledge of the sea and of ships is better than anyone else's on the ship." When Challee interjected that possibly a skipper should listen to his subordinates when all agree that a ship is going down, Southard replied, "'Negative! Panic is a common hazard at sea. The highest function of command is to override it and to listen to nothing but the voice of his own judgment'" (408 B).

On the second day of trial, Challee called forth Dr. Forrest Lundeen, a Navy commander who was chief of psychiatry at the local naval hospital. He had headed the medical board which included two civilian psychiatrists (Drs. Bird and Manella) who had examined Queeg. Asserting that behavioral normality is relative, Dr. Lundeen stated that no adult was without psychological problems to some degree except a "happy imbecile." When asked about the board's findings with regard to Queeg's mental condition, Dr. Lundeen made the following statement: "'The commander is sane now and has always been sane. A psychotic collapse leaves trauma that can always be detected'" (409 M).

Since Dr. Manella had been detached, Dr. Bird was called to testify in backing up Dr. Lundeen's remarks.

Greenwald asked him about the nature and origins of Queeg's "adult problems" relevant to his mental competence as a naval officer. Dr. Bird stated that Queeg's ill temper and harshness were generated in part from an "unfavorable childhood." Some factors included the following: "Disturbed background. Divorced parents, financial trouble, schooling problems" (411 T). In adult life, Dr. Bird testified that Queeg's early experiences as a child were aggravated somewhat by his short stature, low standing in his class at the Academy citing that the "hazing" for Queeg was a "scarring experience." The doctor further explained that Queeg's harshness was a compensating factor for his feelings of inferiority. "'His identity as a naval officer is the essential balancing factor. It's the key to his personal security and therefore he's excessively zealous to protect his standing'" (411 M).

Dr. Bird contended that Queeg's anxiety to protect his standing caused him to deny admitting mistakes, hound subordinates about details, and engendered a pride in meticulous perfection. "'Any mistake of a subordinate is intolerable because it might endanger him'" (411 M). Ironically, the doctor added that Queeg was incapable of admitting mistakes of his own which might be interpreted as lying by someone else. "'He-- you might say he revises reality in his own mind so that he comes out blameless'" (411 M).

Under further questioning by Greenwald, Dr. Bird continued to project a profile of Queeg. He indicated that a

man like Queeg naturally perceived that subordinates were "against him" and would be "constantly on the alert to defend his self-esteem." This would inevitably arouse questions of competence and loyalty in Queeg's mind regarding subordinates. Queeg's stubbornness could be attributed to a "rigidity of personality" in his striving to be perfect. "'The inner insecurity checks him from admitting that those who differ with him might be right'" (412 T).

At last, Greenwald got Dr. Lundeen to admit in cross-examination that Queeg had the symptoms of a paranoid personality but without a "disabling affliction" which would affect his ability to command. However, Dr. Lundeen indicated that circumstances could cause a paranoid personality to withdraw from reality in the form of torpor, frenzy, or nervous collapse.

In a cross-examination of Dr. Bird, Greenwald asked him to distinguish between "compensated" and "adjusted" with respect to paranoia. Dr. Bird stated that such a personality could compensate for say, early childhood trauma, but could never wholly adjust except through psychoanalysis. "'Captain Queeg subconsciously feels that he is disliked because he is wicked, stupid, and personally insignificant. This guilt and hostility trace back to infancy'" (416 M). When asked how Queeg compensated for such feelings, Dr. Bird offered the following explanation: "'In two ways mainly. The paranoid pattern, which is useless and not desirable, and his

naval career which is extremely useful and desirable'" (416 M). Greenwald asked clarification of this last point. "'You say his military career is a result of his disturbance?'" (416 M). To this question, Dr. Bird replied, "'Most military careers are.'" Explaining further, Dr. Bird said, "'I simply mean that it represents an escape, a chance to return to the womb and be reborn with a synthetic blameless self'" (416 B). At the end of his cross-examination, Greenwald got Dr. Bird to admit Queeg's disturbances were symptoms of a sickness and he repudiated Bird's conclusion that Queeg could handle the extreme stress of naval command since Bird had only five months in the service and had never been to sea. "'I suggest that since evidently you don't know much about the requirements of command you may be wrong in your conclusion'" (418 B).

Next, Greenwald called Maryk to the stand. After all the incidents in his log were restated in Maryk's words, Greenwald asked him what happened the day after he relieved Queeg. Maryk explained that Queeg privately told him that both of their careers would be ruined despite who was cleared. Queeg promised him that he would forget the whole incident, written off as a bad case of nerves during a typhoon. Maryk related that he was astonished at the proposal and reminded Queeg that the entire ship knew about the incident, not to mention the notations in the official deck log. Queeg replied that he would take care of the necessary

erasures in the rough deck log. Maryk reminded Queeg about the rule forbidding erasures in an official log but Queeg had laughed saying that "there were rules and rules, including the rule of self-preservation." When Challee cross-examined Maryk, he discredited his ability to oppose the views of three highly trained psychiatrists as to Queeg's mental condition and discounted his seamanship ability noting that the Navy always presumes the captain of a ship to possess the best judgment in shiphandling. Furthermore, Challee challenged Maryk's story about Queeg's attempted "cover up" since no witnesses or erasures were brought in as evidence. Greenwald refused cross-examination until after Queeg took the stand the next morning.

Again, Queeg looked like "a poster picture of a commanding officer of the Navy" as he ascended the stand. Greenwald lost no time in his attack after distributing copies of Maryk's fitness reports signed by Queeg. As Greenwald reviewed each incident beginning with the cutting of the towline through the day after the typhoon, he caught Queeg in self-incriminating situations which Queeg tried to evade by saying, "I don't recall." Then, as Greenwald dwelled on the Stanfield incident, Queeg became increasingly agitated and Challee tried to call for a recess but Queeg protested saying he wanted to set the record straight. "I did not make a single mistake in fifteen months aboard the Caine and I can prove it and my record has been spotless

until now and I don't want it smirched by a whole lot of lies and distortions by disloyal officers" (436 M). Queeg concluded that he didn't fire at the Japanese shore battery on Saipan because the USS Stanfield remained in his line of fire.

As Greenwald proceeded to the relieving process during the typhoon, Queeg plunged his hand into his pocket and brought out the steel balls, rolling them between his fingers. On questions about Maryk's log, Queeg began to relate his side of each incident, hardly pausing between incidents. "He talked on and on, rolling the balls, his face glowing with satisfaction as he scored all these successive points in his vindication" (438 B). Captain Blakely looked at the clock, Challee bit his nails, and Greenwald calmly sat down as Queeg continued to rattle on, his sentences becoming longer and more meandering.

After eight or nine minutes of Queeg's rambling, Greenwald approached him with copies of Maryk's fitness reports at six-month intervals. Queeg read the first one and quickly added that Maryk had put on a good act but had "cooled off in time." When Greenwald presented the second and last fitness report, Queeg began to hunch over and mumble as he read the following:

This officer has if anything improved in his performance of duty since the last fitness report. He is consistently loyal, unflagging, thorough, courageous, and efficient. He is considered at present fully qualified for command of a 1200-ton DMS. His professional zeal and integrity set him apart as an outstanding example for other officers, reserve and regular alike. He cannot be too highly commended. He is recommended for transfer to the regular Navy. (459 M)

Greenwald walked back to his desk, Challee rose like an old man and declared "no cross-examination," and Queeg was dismissed by Blakely. Queeg left the room as Maryk had seen him on many previous occasions--"shoulders hunched, head down, feet scurrying, the balls rolling in his fingers" (439 B).

Final arguments were delayed until after lunch. Challee arose and lambasted Greenwald's attempt to defame Queeg which was not the issue of the specification. He contended that Greenwald only proved that Queeg was a poor administrator, certainly not the basis for a summary relief from command. "'Such a precedent is nothing but a blank check for mutiny. It is the absolute destruction of the chain of command'" (440 B).

No proof of insanity had been established by the defense according to Challee which would be the only legal basis upon which Maryk could have relieved Queeg under Articles 184, 185, and 186. Looking at the officers in the court, Challee asserted that all of them had served with skippers who made errors in judgment and possessed individual eccentricities. Citing that no captain had been relieved under these articles in over thirty years, Challee offered the following proof that the Navy did know what it was doing when assigning Queeg to the Caine.

Naval command is the greatest strain that can be brought to bear on a person. The captain is a god--in theory.

Some lapse more, some less, from that ideal. But the procurement policies of the Navy are rigid. That is why the presumption is always overwhelmingly on the side of the commanding officer in any dispute. He's a man who's been tried in the fire. Whatever his weaknesses--and they may even be grave weaknesses--he's a man who can command a combatant ship. (441 T)

Challee added that all complaints evidenced about Queeg were from subordinates, not superiors. He doubted that the Navy could have put a coward on board a combatant as captain and not detected an element of cowardice in over fifteen months in a war zone. Queeg's battle record had been very satisfactory despite his emotional problems and a disloyal ship.

Greenwald's style was soft, almost apologetic as he gave the final argument for the defense. He maintained that the defense had not set out to prove the issue of cowardice but quite the opposite: "that no man who rises to command of a United States Naval Ship can possibly be a coward" (442 M). If a captain commits questionable acts under stress, the fault must lie with the Navy's procurement procedure. Emphasizing that both doctors admitted in different terminology that Queeg was sick, Greenwald asserted that only the court members who had experience at sea could judge whether Queeg's sickness was serious enough to incapacitate him under severe strain. He referred only briefly to Queeg's symptomatic performance in court, noting his "evasiveness, incoherence, changing stories, and inability to stop speaking." Almost all of Greenwald's

remarks centered on Queeg as he hardly mentioned Maryk. "The court debated for an hour and ten minutes. Maryk was acquitted" (443 T).

Queeg as Hero

That evening, there was a double celebration, Maryk's acquittal and Keefer's advance on his new novel. Greenwald had been invited as the guest of honor but showed up late, very drunk. Referring to Keefer's war novel, Greenwald said he would make "Old Yellowstain" the hero of the novel because his own "little gray-headed, fat mother" was Jewish like himself. The officers, including Keefer, began to look sombre as Greenwald wavered in his slurred speech. "'See, the Germans aren't kidding about Jews. They're cooking us down to soap over there'" (446 M). Greenwald stated that while he was studying law, and Keefer was writing, and Willie was playing at Princeton, "'these stuffy, stupid Prussians, in the Navy and the Army--were manning guns'" (446 B). However, Greenwald said it was all for "dough" like everything else in life and not to keep Jewish mothers out of Nazi soap dishes. But going into service was still considered foolish by intellectuals. "'Bad pay, no millionaire future, and you can't call your mind or body your own. Not for sensitive intellectuals'" (446 B). Saying that "'You can't stop a Nazi with a law book,'" Greenwald related that it took the Navy eighteen months to

train him as a fighter pilot. "'Meantime, and it took a year and a half before I was any good, who was keeping Mama out of the soap dish? Captain Queeg'" (447 T).

Greenwald added that some of the best men he had ever seen were in the military and that you couldn't be really good in the Army or Navy "unless you're goddamn good," despite the fact that some of the officers would not be up on "Proust 'n' Finnegans Wake and all."

Then, looking at Maryk and Keefer, Greenwald said Keefer had run out on everyone and that Maryk would have to go back to his fishing boats since his career was finished. "'I defended Steve because I found out the wrong guy was on trial. Only way I could defend him was to sink Queeg for you'" (448 T). Just before he threw yellow wine in Keefer's face, Greenwald shouted that he was drunk because Queeg deserved better. "'I owed him a favor, don't you see? He stopped Hermann Goering from washing his fat behind with my mother'" (448 T).

As stated in the beginning summary, Keefer became the new skipper of the Caine but was largely inept, often displaying the erratic symptoms of Queeg's sickness. Instead of working jigsaw puzzles, however, he would frequently withdraw to write. Willie, as executive officer, did most of the conning. During a kamikaze attack the Caine received a direct hit and Keefer went into a panic ordering abandon ship. Willie stayed aboard with some of the remaining men

and kept the Caine afloat rescuing Keefer and the rest of the crew.

Eventually, Keefer left the Navy and Willie became the new skipper of the Caine with orders to take her to the yards to be scrapped. In a long letter to May Wynn, Willie expressed his inner feelings about "becoming a man" and even admitted that Queeg was not guilty, expressing remorse for not having been more loyal. "'We transferred to Queeg the hatred we should have felt for Hitler and the Japs who tore us off the beach and imprisoned us on a wallowing old ship for years'" (468 T). In a final comment on his present and more mature perspective on past experiences aboard the Caine, Willie wrote the following:

The idea is, once you get an incompetent ass of a skipper--and it's a chance of war--there's nothing to do but serve him as though he were the wisest and the best, cover his mistakes, keep the ship going, and bear up. (468 M)

CHAPTER XI

THE CAINE LEADERSHIP AND FIEDLER'S CONTINGENCY MODEL:
AN INFERENTIAL ANALYSIS

The evidence presented in Chapter X has portrayed a profile of several leadership types in The Caine Mutiny relative to Fielder's Contingency Model. It should be reiterated that the situational variables aboard the Caine when Queeg assumed command are reflected by Octants I and III as discussed in Chapter IX. Soon after Queeg becomes the new commanding officer, the shift of situational variables moves quickly into Octant V as leader-member relations become poor due to Queeg's relentless absurdity. The tasks continue to remain structured and leader position power remains strong because of general adherence to regulations until the typhoon. The typhoon produces an unstructured task which calls for the utmost in command judgment. When Queeg freezes, his leader position power greatly weakens which reflects a combination of variables in Octant VIII.

After Maryk relieves Queeg, situational variables revert to Octant I with Maryk as the new leader. Leader-member relations are good and leader position power is strong as indicated by the unanimous support Maryk received

from both officers and crew. The typhoon subsides and confidence in Maryk's competence returns the Caine to a more routine, structured task situation.

The dialogues, actions, and descriptions noted in Chapter X are crucial in understanding the psychological motivation of each leader which has a direct bearing on actions taken during the various situations aboard the Caine. The basic premise of the inferential analysis which follows is that all of the key leaders (Queeg, Maryk, Keefer, Keith) acted predictably with respect to Fiedler's Contingency Model.

Willie Keith

"The story begins with Willie Keith because the event turned on his personality as the massive door of a vault turns on a small jewel bearing" (Preface to The Caine Mutiny). The critics generally agree that Willie provides the central perspective from which the story is told. According to W. S. Hudson (1969), Willie furnishes a kind of "commentary on Captain Queeg, on the mutiny, and on the military system in general" (p. 210). Hudson asserts that the realistic portrayal of Willie Keith lends credibility to his function as the "moralizer" of the events in the story.

It was always Wouk's intention to use Keith as a mirror against which the civilian-military conflict of the novel could be reflected, and through whom his own thoughts about the conflict could be passed on to the

reader, as they are also done through Barney Greenwald. (Hudson, 1969, p. 205)

Hudson goes on to note that the sequence of events in the novel also reflects various developmental stages in Willie's maturity. With respect to the subplot in the novel (Willie's personal life), Edward Weeks states that "in the process of his self-possession, Willie frees himself from his mother's domination and comes to value his affection for May Wynn, an Italian nightclub singer" (1951, p. 79). Since the Caine is the crucible through which Willie matures, W. S. Hudson observes that "Queeg is a part of the discomfort he experiences as he learns to adjust to a world unlike the one he had known, and Keefer is the embodiment of his immature reaction to that discomfort" (1969, p. 229). As Willie matures, his opinion of De Vriess changes. He takes increasing pride in his naval duties to the point that he even becomes irritated at the awkwardness of new officers such as Jorgensen and Ducely.

The culmination of Willie's maturity is evidenced by his final acceptance of military authority in time of war indicated in his last letter to May Wynn (see last page of Chapter X). W. S. Hudson notes that this realization is actually symbolized by Greenwald's eloquence at the end of the novel as a kind of spokesman for mature and responsible manhood. "Keith now has the maturity, but he needs Greenwald's power of expression to demonstrate his final stage

of development" (1969, p. 229). Frederic I. Carpenter succinctly sums up the progression of Willie Keith's maturity as follows:

Moreover, it gains realistic conviction by describing the problem through the eyes of Willie Keith, who first appears as an irresponsible young romantic, grows gradually into a more responsible officer, but is seduced by Tom Keefer into "maturity," then enjoys a kind of conversion through the agency of Barney Greenwald, and ends as a responsible adult fit to become "the last captain of the Caine." (1956, p. 214)

E. L. Acken (1951) adds another dimension to Carpenter's observations about Willie's maturation. He asserts that the novel is about much more than the thousands of "Willie Keiths" who first found out about the real world through military service in World War II. Acken believes that the novel is really about the eternal conflict between the civilian and military man with regard to ethics and standards. Willie is merely a symbol of the civilian side of the conflict. "Willie is a very real person, but essentially, he is a symbol of the citizen of a democratic country coming into contact for the first time with the single-minded service officer and all that officer stands for" (1951, p. 6).

The maturity factor in Willie is critically tested during the typhoon when Queeg is relieved by Maryk, particularly with regard to the reasons why Willie supported Maryk. Robert Bierstedt (1956) makes the following observation: "It is apparent that if Willie, at this tense moment, had supported the captain instead of the executive officer,

the latter's attempt to relieve his skipper would have failed" (p. 3). Had Willie been less mature in matters of shiphandling and experience at sea, he might have supported Queeg strictly from a legal "chain of command" standard which was assuredly well indoctrinated in all officers fresh out of midshipman schools. However, Willie decides to support Maryk out of a moral self-preservation for both himself and the crew based on the hazardous situation of the Caine in the typhoon. W. R. Williams (1954) tends to substantiate this view of Keith's moral decision as he notes that "the morale officer acquiesced in the relief of the captain only when he considered his physical existence threatened, not on the ground that the captain's cowardice, authoritarianism, and incompetence were destroying the ship's integrity" (p. 261).

In terms of maturity, then, Willie represents a crucial factor of leadership as it pertains to the Fiedler Contingency Model. The evidence presented in Chapter X reveals Willie's changing perceptions of leadership roles (Queeg vs. De Vriess) which in turn define his own self-perceptions as a leader. His decision to support Maryk in approving Stillwell's seventy-two hour pass as well as to back Maryk in relieving Queeg were the moral decisions of a relationship-motivated leader. Had Willie gone strictly "by the book" as is typical of a task-motivated leader, he would have backed Queeg in his decision to maintain fleet course ordered by the tactical commander.

Finally, Willie's desire to leave the Navy after his obligated tour of duty is predictable in terms of the situation he desires as a relationship-motivated leader. His ambition is to become a professor of literature in a university setting where high LPC leaders perform best. While there are still policies and regulations governing goals and objectives of a university, there is more latitude for creativity and development as an individual not only for a professor but those whom he instructs.

Tom Keefer

"Lieutenant Keefer, in civilian life an imaginative writer, was responsible for the rumors of Queeg's insanity that led to the mutiny--and an impressive trial scene" (Booklist, 1951, p. 294). W. S. Hudson (1969) supports this statement as he asserts that Wouk intended Keefer to be the true villain of The Caine Mutiny. "In May, 1949, referring to him by the name of Wood, Wouk described him as a would-be novelist, intellectual snob, and great fool" (p. 195). These noted, negative characteristics combine to make Keefer insidious in his intentions to undermine Queeg. Hudson aptly observes that Keefer's intent was relatively unassertive at first as he becomes the persuasive leader of subordinates in the "universal military man's ceremony of maligning superior officers." But Keefer's opposition to Queeg becomes increasingly serious as he

begins to play psychiatrist in his attempt to influence Maryk that the Caine must be rid of such a "colossal ignoramus" as LCDR Queeg. "The leader of this opposition to the captain and the epitome of the uncooperative, disgruntled civilian, is the ship's communication officer, Tom Keefer" (Hudson, 1969, p. 194).

Edmund Fuller (1957) agrees with Hudson in that Tom Keefer misdirects his intelligence to the point that Wouk portrays him as essentially "phony" in his pretenses. "Keefer is more, by the way, than a phony intellectual, he is also the phony liberal, another familiar person of our time" (p. 145). The phoniness to which Fuller alludes stems primarily from Keefer's inability to accept responsibility for his accusations and follow through at crucial points in the novel. Harvey Swados (1953) refers to the first crucial test of Keefer's convictions as the time when Maryk and Keefer go to Admiral Halsey's office to plead for Queeg's replacement. However, as the men entered the flag quarters, "Keefer begs off at the last possible moment with the explanation that their proof is insufficient and subject to misinterpretation" (p. 249). It seems that part of Keefer's true character is that he fails at crucial times. Edward Weeks (1951) concurs with this view as he states that "Keefer, as events prove, is neither a fair judge nor a reliable officer when the crisis comes" (p. 79).

The second crisis, the relieving of Queeg during the typhoon, occurs without the presence of Keefer until after the fact. Wouk does not allow him to have a part in the crucial decision-making process when Maryk takes command. This is somewhat ironic in that Maryk's decision is the culmination of Keefer's vindictive persuasive ability to convince others of Queeg's insanity and to take the risk of action. "He plants in the mind of Lieutenant Maryk, a stolid and competent peacetime fisherman, the seed that grows into a conviction of Queeg's insanity" (Swados, 1953, p. 249). Even though Keefer congratulated Willie Keith as he relieves the OOD watch, it is doubtful that Keefer would have backed Maryk at such a crucial moment, finding it easier to do so after all other officers became unanimous in support of Maryk.

The third crisis occurs during the court-martial when Keefer evades his responsibility on the witness stand. "Keefer protects his own career by equivocating and refusing to swear to Queeg's madness" (Swados, 1953, p. 250). In a very real sense, Keefer's cowardly testimony simply compounded his guilt for incitement of the doubts surrounding Queeg's sanity. This guilt based on Keefer's lack of resolve to take responsibility for acting on his convictions is summarized by W. S. Hudson as follows:

On his shoulders must be placed the blame for ending Maryk's career; if not for him, Maryk would not have had to relieve Queeg, as Willie says; and what Greenwald

meant ultimately when he said that Maryk was guilty was that Keefer was responsible for Maryk's guilt, which is the same as saying that Keefer was guilty. If not for him, the officers of the Caine probably would have given Queeg the support he needed which was their duty. Queeg's confidence in himself would have been bolstered, and he very likely would have taken the ship through the storm. Although Maryk was acquitted, mutiny was a wrong act and one for which Keefer must be held responsible. (1969, pp. 198-199)

William H. Whyte (1956) adds to Hudson's analysis by asserting that it was Keefer's constant "needling of authority" that led the "ordinary people" of the Caine astray. "The 'smart' people who question things, who upset people-- they are the wrong ones" (p. 246). To some extent Whyte puts Greenwald in this category with a different sense of guilt for lending his legal services to acquit Maryk while incriminating Queeg. "Barney Greenwald was too smart for his own good too, and to redeem himself, he had to throw a glass of champagne in Keefer's dirty intellectual face" (p. 246). Greenwald had defended Maryk and the others only because Keefer should have been the one on trial. "Greenwald had defended them, but only because he found out that 'the wrong man was on trial'" (Carpenter, 1956, p. 215). In fact, W. S. Hudson concludes that "despite his brains, Keefer is a hypocrite and a coward, even more so than the man he maligns" (1969, p. 196).

Thus, Keefer is denounced by Greenwald (and Wouk) not because he had been so outspoken but because Keefer had failed to carry his accusations through to their conclusion.

Keefe's mocking cynicism only worsened Queeg's condition and made the mutiny inevitable. W. A. Williams observes that the key point in The Caine Mutiny is not that authority is sacred but that "the intellectual abdicated his responsibility--and consequently lost not only his opportunity but also his self-respect" (1954, p. 261). Keefe's crime was not so much the questioning of authority but the failure to take necessary countermeasures to remedy the situation. W. J. Stuckey (1966) states that Wouk focuses on Keefe's guilt of irresponsibility at the end of the novel to ensure that there is no mistake of his literary intention in portraying Keefe as a bigger coward than Queeg. Noting Keefe's denial of Queeg's insanity in sworn testimony, Stuckey discusses the obvious symbolism of Greenwald's hurling a glass of yellow champagne in Keefe's face at the banquet. The quotation below summarizes Stuckey's views of Wouk's intentions and lends further insight to the irony of Keefe's character:

Then, to make absolutely certain that the reader gets the point, Wouk puts the Caine under Keefe's command and lets us see how Keefe behaves. And, of course, novelist Keefe does very badly. When a mine bobs up under the ship's prow, Wouk tells us that Keefe squeaked with excitement. His eyeballs even take on an "opaque yellowish look and are rimmed with red." Whenever Keefe gets the opportunity, he retires "into an isolation like Queeg's--except that he [works] on his novel instead of solving jigsaw puzzles." Finally, Keefe surpasses even Queeg in cowardice by committing the most heinous of all naval crimes: he abandons the ship before it sinks. To make Keefe's cowardice even more obvious, Wouk arranges matters so that the ship does not sink and Captain Keefe is made

to seem ridiculous as well as contemptible. (1966, pp. 162-163)

Having presented the evidence in Chapter X portraying Keefer as the epitome of the "disgruntled civilian" and having looked at the character analysis of several critics, it is very difficult to place Keefer in a leadership category at all with respect to Fiedler's Contingency Model. The primary reason is the reluctance or inability of Keefer to act on his perceptions toward a meaningful conclusion. From the beginning of the novel through the court-martial, Keefer merely incites others to view Queeg in a negative perception of mental incompetence while protecting himself from blame with an evasive verbal dexterity.

The most logical placement of Keefer as a leadership type in Fiedler's Contingency Model would be to consider his overall character as reflective of the relationship-motivated leader. However, the acid test of the effectiveness of Keefer's performance comes after the court-martial when he is put in a position which forces him to act as skipper of the Caine. The residual effects of the court-martial and Keefer's part in it have tended to vary the strength of leader-member relations in the minds of the officers and crew aboard the Caine. While leader position power remains strong relative to what had occurred in Queeg's case, the leader-member relations vary between "good" in Octant III and "poor" in Octant VII. These two

octants reflect an unstructured task structure since these are the crucial tests of Keefer's ability as a leader to perform effectively. The mine incident as well as the kamikaze attacks are unstructured situations and Keefer acts predictably incompetently as an inept relationship-motivated leader within the criteria in Octants III and VII where a competent task-motivated leader would have performed best. In essence, it is Willie Keith who takes effective action, recognizing the situation, deviating from his normal relationship-motivated role and becoming effective as a task-motivated leader in crucial situations. It is for this reason that he becomes the competent final captain of the Caine whereas Tom Keefer fails miserably and predictably.

Steve Maryk

Even though Keefer is portrayed as the real villain of The Caine Mutiny, it is Maryk who is forced to act in the critical circumstance of the typhoon. Maryk becomes the "scapegoat" for the Navy system which allows him a superficial acquittal since both his and Queeg's professional military careers are ultimately ruined. Edmund Fuller offers a succinct analysis in this regard:

It is an oversimplification to say that Maryk is permitted to defy authority and is then slapped over the wrist for the defiance. . . . The court-martial does not convict Maryk, but neither does it move to lighten or mitigate the seriousness of such an action on the part of a subordinate toward his superior. . . . Maryk is justified as far as we could possibly expect within the military system. (1957, page 139)

The justification which Fuller mentions is a moral one of self-preservation not only for Maryk but the safety of the crew as well. Had not Queeg incriminated himself under Greenwald's relentless questioning, the Navy system might well have convicted Maryk on legal interpretation of Articles 184, 185 and 186 of Navy Regulations. Maryk's decision to relieve Queeg was for much the same reasons as those within Willie when he backed Maryk. W. A. Williams comments on Maryk's decision to relieve Queeg as follows:

The executive officer, asked why he had not acted earlier, asserted that he "wasn't sure of [his] ground." As with the morale officer, he acted only when the captain's tyranny and incompetence touched him in terms of physical survival. None of these considerations detract from his courage in relieving the skipper at the height of the storm. But to concentrate on this courage and seamanship is to miss the point. More accurate was the defending lawyer's charge that the intellectual, not the executive officer, should have been tried. (1954, p. 261)

Williams' observation reveals an important facet of Maryk's character in terms of leadership. While Steve was extremely competent in the functional aspects of shipboard operations, he was not astute in the political dimension of the Navy system. Maryk does not really understand Keefer's exhortations concerning the inner circle of fraternity in the Navy as well as the "father-son" tradition of its politics. To compound the problem, Maryk manifests an inferiority complex in his ability to lend verbal expression to his inner convictions which causes his tragic dependence

on Keefer in this regard. Had Maryk had the confidence to verbalize his findings to Halsey without Keefer, it is possible that something might have been done about Queeg's removal before the typhoon. The irony is that the most competent officer aboard the Caine, Maryk, is just as "washed up" as the incompetent Queeg while latently incompetent Keefer assumes command as the new skipper.

Keefer was probably right in telling Maryk that he would become a twenty-year "time server," unable to break into the political inner circle of the Navy system. The system does not always reward operational competence which must often be reinforced by "connections" in the right places along the chain of command. Maryk's relatively low socioeconomic background as the son of a "dumb immigrant fisherman" would have excluded him from the fraternity of Academy men and the elite of the "ivy league." For Maryk, the Navy was the best alternative to breaking his back hauling in fish for a living.

All of the aforementioned factors of Maryk's character as well as the evidence presented in Chapter X provide a unique leader profile with respect to Fiedler's Contingency Model. Maryk's performance reflects a blend of both the task- and relationship-motivated leader types within operational/functional criteria. Few critics would dispute the fact that Maryk was the most competent shiphandler aboard the Caine. He understood the engineering plant,

standard operating procedures of the fleet, and the best ways to deploy sweep gear in order to accomplish the Caine's wartime mission.

Most importantly, Maryk's functional understanding of naval operations was coupled with his natural understanding of the crew. Maryk's socioeconomic background enhanced his insight concerning the crew's motivations and aspirations. In this regard, Maryk is an example of the relationship-motivated leader in Fiedler's Model. Like De Vriess, Maryk knew when to tighten and relax regulation in order to derive maximum performance from the crew in important situations. It was Maryk who pleaded for relief for the crew during Queeg's water restriction but it was also Maryk who was not beyond taking his shirt off and pushing the minesweeping detail to outperform all other fleet units in launching and recovering sweep gear.

In view of Maryk's dual motivation as a leader, he acts predictably with respect to the situational variables in Fiedler's Contingency Model as discussed in Chapters IX and X. In Chapter IX, the variables in octants I and III comprised the setting aboard the Caine under Captain De Vriess. Had Maryk relieved De Vriess, the Caine probably would have realized little significant change in leadership effectiveness and would have continued to outperform other fleet DMS's. However, Queeg's arrival causes the situational variables to gradually shift to the right side of Fiedler's

Model culminating in octant VIII at the time of the typhoon when Maryk relieved Queeg.

Despite the fact that Maryk performed predictably in a strictly operational sense, it was his lack of effectiveness politically which was his undoing and caused him to become the proverbial "man in the middle" between a wary crew, an incompetent skipper, and a disgruntled wardroom of officers. Had he been more politically astute in terms of verbalizing his convictions effectively, Maryk might have gotten action from Halsey or possibly he could have ameliorated conditions between Queeg and the men as a kind of "buffer." It is not uncommon for a very sharp executive officer to be the real power behind a not-so-sharp captain of a ship in terms of ensuring smooth-running efficiency and high morale. However, Maryk's commanding officer might have been incompetent to such a degree that no executive officer in the Navy could have performed effectively under such a man as Queeg.

Philip Francis Queeg

"The essence of sea command is the proper handling of a ship under battle, emergency, and routine conditions" (Browne, 1956, p. 217). This statement reflects the real issue which is on trial in the Caine court-martial--the competence of LCDR Philip F. Queeg as a commanding officer of a naval warship. The factor of competence is also crucial to any type of leadership whether it be task- or

relationship-motivated within any of the octants in Fiedler's Contingency Model. Prior to an inferential analysis of Queeg in relation to the Contingency Model, it is necessary to review some criticism of Queeg's competence.

According to an article appearing in Time (April 9, 1951), Queeg is labeled as a "phony and misfit skipper." He is further referred to as "a pallid little man turning to fat" who graduated near the bottom of his class at Annapolis and was incapable of handling either his ship or men. "He was a martinet, a liar, a petty tyrant, and when the chips were down in combat, a coward" (Time, 1951, p. 110). Robert Bierstedt agrees with this last descriptive statement as he observes that Queeg is a classic example of a man who possesses those qualities which usually insure "success in any bureaucracy and failure everywhere else." However, Queeg fails miserably due to his incompetence and misapplication of Navy Regulations which he considers "his only Bible and his only Law." Bierstedt notes that Queeg is far more than a disciplinarian, he is a martinet. "While martinets and myrmidons may be conspicuous in military organizations, they can be found, of course, in all the organizations of society" (1956, p. 3).

Even the general public was somewhat dismayed by Queeg's portrayal when the book and play came out in the early 1950s. According to W. J. Stuckey, "readers who

had been nourished for many years on official wartime propaganda must have been shocked and amused to find that Captain Queeg had none of the dignity or competence traditionally associated with his position as ship's commander" (1966, p. 159). Riley Hughes agrees with Stuckey's assessment and offers the following segment of Queeg's less-than-dignified character: "There is a growing dramatic situation as the schizoid skipper of the minesweeper Caine, with his maddening affirmation 'Kay, kay' and his assurance 'I kid you not,' exercises his petty tyranny over officers and men" (1951, p. 473). W. K. Harrison (1951) adds that "Queeg, the captain, was brutal (within regulation limits), cowardly, and incompetent" (p. 514). Referring to Queeg's seamanship, W. S. Hudson (1969) reiterates the following fiascos: (a) the first time Queeg gets under way, he damages another ship and gets stuck in a mud bank, (b) in heavy fog, Queeg nearly has a collision with a tanker and a battleship; the latter because he was on the wrong side of the channel, (c) on an approach in San Francisco Queeg backs down too late and crashes into a pier laden with civilians, (d) while chewing out a sailor for having his shirttail out, Queeg cuts his own towline, and (e) as he refuses to listen to reason, Queeg shows his inability to handle the Caine during the typhoon. Hudson concludes that "Queeg's shiphandling ability is just as far below par as his ability to handle men" (p. 190).

An example of this last statement is Queeg's constant demand for strict compliance with the most minute of naval regulations which had been relaxed under De Vriess. On the premise that he is a "book man," Queeg forbids shirrtails hanging out, reading on watch, and no sleeping during the day. Harry Gilroy (1951) reiterates Queeg's callous use of regulation with yet another observation: "At any breach of discipline, however slight, he imposes stern penalties--such things as taking away the leave of men who have not had a visit with their families in years and may well be blown to bits before the next chance" (p. 5). Finally, Hudson summarizes several minor incidents that invoke disproportionate penalty from Queeg, adding to almost a complete devastation of morale aboard the Caine.

Queeg cuts off the ship's movies for six months because someone forgets to invite him to a particular showing. He cuts off the water at the equator because one of his officers is detached against his will. Because the steward's mates eat some leftover strawberries, Queeg conducts a massive search for a key he is sure someone has made to the icebox. . . . The slightest irregularity means a midnight conference of department heads who are alternating deck watch and have no chance to make up the lost sleep during the day" (1969, p. 190).

It is ironic that while Queeg inflicts unreasonable punishment on his men for the slightest deviation from "the book," he often abuses regulation for his benefit. Robert Bierstedt summarizes some pertinent examples of Queeg's misuse of authority.

But Queeg is not, in other circumstances, a "book officer" at all. He illegally transports back to the states a consignment of liquor for his own personal use

and then extorts the cost of it from Willie, when, because of his own mistakes, it is lost overboard. On several occasions, he submits to his superiors reports which stray rather considerably from the truth in the direction of self-justification, and he offers, in the instance of the "mutiny" itself, to erase and rewrite the rough log of the ship. This last, for obvious reasons, is an exceedingly serious offense against naval regulations. (1956, p. 4)

In addition, Queeg often threatens his officers with unsatisfactory fitness reports as a means of punishment. Navy directives specify that fitness reports are to be used only to evaluate actual performance of subordinates rather than as a means of punishment. In another observation of Queeg's "double standard" of interpreting regulations, Harry Gilroy states that "while the ship's company is held to rigid standards, he makes clownish mistakes of ship-handling and finally--in the concluding pages--shows cowardice in action" (1951, p. 5).

It is Queeg's cowardice that raises the eyebrows of the court members as testimony is given about the incidents at Kwajalein and Saipan. W. S. Hudson (1969) notes that "during combat, he continuously changes his position so as to remain on the sheltered side of the bridge. Several times, he runs from combat." Robert Bierstedt reiterates Hudson's observation by commenting on the Kwajalein assault when Queeg dropped the yellow dye marker well behind the line of departure. "This last incident wins him the name, 'Old Yellowstain' among his subordinate officers, and the 'Yellow,' of course, stands for more than the color of the

dye" (1956, p. 4). Queeg's worst display of cowardice occurred during the assault on Saipan when the destroyer Stanfield was straddled by fire from a Japanese shore battery. Queeg never stays on the side of the bridge exposed to enemy fire. Furthermore, Bierstedt notes, Queeg "fails to return enemy fire when he has an opportunity to do so, and instead moves the Caine out of range as rapidly as possible" (1956, p. 4).

Queeg's cowardice is certainly an indication of his incompetence for command at sea and his inability to make reasonable decisions, especially in crucial situations, compounds his incompetence. The best example of Queeg's ineptness occurs during the typhoon which very nearly destroys the Caine and her crew. Virtually frozen in panic to the engine order telegraph, Queeg is incapable of giving coherent, reasonable orders despite prudent recommendations from subordinates. "His refusal to come into the wind, to ballast his tanks, and to turn the depth charges on 'safe' all increase the hazards to his ship" (Bierstedt, 1956, p. 3). Clinging to the tenet that the standing orders of fleet course must be obeyed, Queeg exercises no initiative in departing from those orders even under the extenuating circumstances of a typhoon. "When the Caine is caught in a violent storm and seems doomed, Queeg freezes on the bridge, unable to issue orders that would save the ship" (Swados, 1953, p. 250).

Even before Maryk feels compelled to relieve Queeg during the typhoon, Harvey Swados believes that the officers of the Caine must have concluded that Queeg was "a coward, an unbalanced disciplinarian, and finally a madman" (1953, p. 249). Lydia McClean (1953) agrees with this conclusion as she notes that the Caine "is commanded by a Regular Navy officer named Queeg, a tyrant, an incompetent seaman, a coward, and a sort of package of all the neuroses" (p. 195).

W. S. Hudson (1969) essentially agrees with Keefer's, and Greenwald's and the court psychiatrists' analysis of Queeg's neurotic paranoia. The combination of an unfavorable childhood (divorced parents), school problems, and a lack of money coupled with Queeg's low standing at the Naval Academy contributed to his later psychotic condition. "All this, together with his small physical stature, had created in him a strong feeling of inferiority, a sense of being persecuted, and a lack of confidence in his ability" (Hudson, 1969, p. 191).

Hudson further explains that Queeg compensated for his feelings of inferiority in several ways. "In the first place, he had chosen military service for a career because it offered him security" (1969, p. 192). Then, Queeg became a perfectionist, expecting everyone to follow regulations by the letter which negated the necessity for making judgmental decisions. By making the little things

that he could do seem important, Queeg compensated for his cowardice. An example of such a situation in which Queeg felt completely in control was the infamous "strawberry affair." Additionally, Queeg's refusal to act until given orders and forgetting his mistakes enabled him to displace blame on others. This characteristic is explained as follows:

But Queeg's most distinguishing trait is an uncommon talent for covering up his mistakes. He can always rationalize an error of judgment or twist a situation so that someone else appears at fault. It is Willie Keith's fault, as morale officer, that Urban's shirttail is out; the two target-towing lines separate because they are of poor quality. . . . This suggests that, unlike Captain Bligh and Vere, Captain Queeg suffers from an emotional condition that accounts, at least in part, for his behavior. (Hudson, 1969, p. 191)

An outward manifestation of Queeg's neurosis was the habit of rubbing two steel balls together which he drew out of his pocket during times of emotional stress. Another mannerism which reflected Queeg's lack of self-confidence and inner tenseness was generally exhibited by certain word selections. He often used clichés, military jargon to express irritation and spoke in proverbs to illustrate the intent of his orders. "He had convinced himself that he was a good officer, and he operated with the help of the book, the steel balls, and the jargon, under the assumption that when things went wrong it was the fault of someone else" (Hudson, 1969, p. 193).

However, Queeg's "crutches" used to compensate for his feelings of inferiority and inadequacy are not enough

to mask his true psychotic condition during the court-martial. Walcott Gibbs (1954) provides an interesting analysis of Queeg's gradual unravelling on the witness stand as he responds to Greenwald's questions.

It begins with trivialities--the investigation of semi-comic mishaps in the course of the voyage, petty tyrannies, charges of minor misconduct--but presently the trivialities evolve into something else. As Queeg explains away absurdities, he begins to be involved in tiny contradictions; his irritation grows, and so does his confusion; one story merges into another; irritation turns to fury and then to incoherent ranting and then, ultimately, to total collapse. It is a shocking picture of the absolute disintegration of a personality, and at the end of it Greenwald has unmistakably made his point. It is quite evident that under sufficient stress, Queeg could not conceivably be held responsible for his behavior. (pp. 60-61)

Euphemia Wyatt (1954), a theater critic, refers to Queeg's psychological disintegration as "a painful stripping of human decencies" and a "spectacle of naval shame." Wyatt states that she, like the court members on stage, felt the necessity to bow her head so as to avert her eyes as Queeg destroys himself. "When he cracks under Greenwald's relentless questions, his burst of recrimination suddenly lays bare all his 'maladjustments' and 'non-compensated complexes'" (p. 466).

Noting that the members of the court-martial board are better qualified than medical examiners to evaluate the stresses of command at sea, Greenwald points out that Queeg's behavior aboard the Caine, especially cowardice, must be attributed to a mental condition. Obviously, Greenwald

appeals to the naval officers of the board and their pride in the naval system. "The defense attorney, Greenwald, denies that Queeg is guilty of cowardice on the ground that no man certified by the Navy as qualified for command could possibly be guilty of so heinous a charge" (Bierstedt, 1956, p. 4).

In the aftermath of the trial, Gibbs comments on Wouk's attempt to make Queeg a heroic symbol. "To Greenwald, Queeg, no matter how incompetent, or even unbalanced he may be, is a hero in that he represents the Regular Navy, which stood as the country's only defense when we went to war" (1954, p. 61). Since Greenwald is Jewish, he feels strongly about Hitler's intentions of "melting his old mother down into a bar of soap." Queeg is described as a "martyr," Maryk a "scapegoat," and Keefer as the "cold-blooded opportunist" who used Maryk for vengeance and then betrayed him at the trial. J. D. Scott (1951) suggests that even though conventional heroes are recognizable as possessing certain positive characteristics, Wouk's supposed villain "is really a hero after all--the unstable, pathetic bully, Captain Queeg, U.S.N., of doubtful competence and doubtful courage" (p. 568).

However, James R. Browne (1956) does not agree with either Gibbs or Scott in perceiving Queeg as any type of hero. Browne asserts that just because Queeg was a member

of the armed services, he was such an ineffectual part of the opposition to "Hitlerian barbarism" that "he could not, under any circumstances, justifiably be considered the hero of anything" (p. 216). Brown goes on to back his criticism with the following analysis:

Queeg was lost before the story began, not because of command pressures, but because of being the kind of person he was. And no matter how much some readers may be inclined to sympathize with him as a pitiable object, his plight cannot justifiably be called a breakdown under the rigors of command. Command is not something that can merely be held passively, or visited upon people like some kind of disease. It is a form of activity that has to be practiced, and if it is not successful, it does not exist. Queeg in The Caine Mutiny was never displayed in the act of properly exercising command. (p. 218)

Lee Rogow (1951) emphatically agrees with Browne's assessment as noted above. Rogow sees Queeg as the type of officer encountered by many civilians who served during the War. In peacetime, the Queegs of the professional military may be the "watchdogs" of America's security while civilians are "blissfully doping off" but there is no excuse for the incompetence displayed by the inept skipper of the Caine. "It is true, of course, that the professional sailors and soldiers were necessary to America's triumph by arms, but I do not see that this could ever be made a justification for cruelty, stupidity, and downright insanity in the officer class" (p. 17). In agreement with Rogow's assertion, Harry Gilroy (1951) offers the following succinct summation of Queeg's leadership ability portrayed in The

Caine Mutiny: "It is a dreadfully impressive portrait of a small-natured man put in a position that calls for the best in any man, that of command of a Navy ship at sea in wartime" (p. 5).

Gilroy's assessment of Queeg in this last statement, as well as the evidence of the criticism presented, reveals that LCDR Philip F. Queeg acted predictably relative to Fiedler's Contingency Model of effective leadership. Queeg is a classic, though extreme example, of the task-motivated leadership type. He regards personal relationships as secondary to accomplishing what he desires whether it be a military mission or more often, his own petty tasks. Of course, many task-motivated leaders are quite effective in circumstances with situational variables delineated in Octants I, III, VII, and VIII of the Contingency Model but only if the essential quality of competence is present in their knowledge or character. This quality, especially in a mental sense, is what was really on trial in The Caine Mutiny.

Competence may be defined in mental, physical, or spiritual realms as the ability, fitness, or capacity to achieve an acceptable level of performance whether the results are concrete or abstract. Militarily, Queeg had the exposure to become a competent commanding officer (Annapolis, tours of duty at sea) but his mental condition

precluded his effectiveness, whatever the psychological causes. The paranoia, his persecution complex, low self-esteem, and neuroses in general negated his ability to become an effective task-motivated leader regardless of the octant of situational variables. Therefore, Queeg's incompetent performance based on psychological abnormalities, made his performance quite predictable in relation to Fiedler's Contingency Model. In essence, Queeg's actions and inactions hardly constituted leadership by any standard as he was totally ineffective in any positive direction.

Of course, Queeg was effective in achieving adherence to his petty demands but the effect was in a negative direction toward conditions "unfavorable for a leader" as portrayed on the right side of the Fiedler Contingency Model. Queeg's mental incompetence prevented him from perceiving the positive aspects of De Vriess' leadership characterized by the variables in Octant I of the Contingency Model when Queeg came aboard. As Queeg relentlessly pushed both officers and crew to meet his absurd demands, the situational variables shifted the circumstances aboard the Caine from Octant I to Octant VII during the events leading up to the typhoon. When Maryk made the decision to relieve Queeg, even "leader position power" had become weak in a highly "unstructured" task situation and leader-member relations had been "poor" for some time.

Another key factor in the Fiedler Contingency Model is the perception of co-workers by the leader under evaluation. As noted in Chapter II, task-motivated leaders rate character traits in their co-workers as low and therefore have low LPC (least preferred co-worker) scores in contrast to high LPC of relationship-motivated leaders who tend to rate the traits of their least preferred co-workers somewhat higher. However, this rating system can only be valid on the assumption that the leader's perception of his co-workers is derived from mental competence. Obviously, Queeg's psychotic condition greatly distorts his perception of people as well as situations; hence his actions are necessarily incompetent. Another illustration of this distortion of perception was the disparity between Queeg's verbal testimony concerning Maryk's fitness as an officer and the written reports presented as evidence to discredit Queeg's testimony.

In a last analysis, Queeg might well have performed well in the situational variables of Octants I and III of Fiedler's Contingency Model as did De Vriess had it not been for his mental incapacity. He possessed the character traits of a task-motivated leader but he lacked the judgment to apply those traits effectively as commanding officer of the Caine. Predictably, as J. R. Browne noted earlier, "Queeg, in The Caine Mutiny, was never displayed in the act of properly exercising command" (1956, p. 218).

Admiral Halsey's View

In an exclusive interview with Admiral Halsey, Lydia McClean (1953) posed hypothetical questions regarding the course of action the Admiral would have taken had the Caine really existed as part of the Pacific fleet. First, Halsey stated that "he had enjoyed every bit of The Caine Mutiny, especially as he had spent twenty-five years in destroyers himself" (p. 223). When asked what he would have done if Keefer and Maryk had actually submitted their report on Queeg, Admiral Halsey indicated that he would not have had time to review the report personally "since the Fleet was leaving to support the landing on Mindoro." However, Halsey stated that he would have sent a senior member of his staff, "a man of experience and mature judgment," over to the Caine to investigate conditions. "Whatever action he took would have been determined by the report of this officer."

Another question McClean asked Halsey was his opinion with respect to Maryk's decision to relieve Queeg during the typhoon. Halsey prefaced his answer by saying that an opinion in such an extenuating circumstance would be most difficult since, of course, the Caine never existed as part of his fleet. However, Halsey did offer the following general remarks which reveal the complexity of variables surrounding the nature of Maryk's action:

If the ship is in serious trouble, he may be liable to punishment if he doesn't take over. It's the most difficult situation a naval officer can find himself in.

He can't act a minute too soon, or a minute too late. And it's something he has to decide for himself. Nobody can undertake to advise him. If he guesses right, that's fine--if he guesses wrong, God help him. (McLean, 1953, p. 223)

CHAPTER XII

SYNTHESIS

The major characters in Melville's Billy Budd and Wouk's The Caine Mutiny have been inferentially analyzed in terms of predictable behavior with respect to Fiedler's Contingency Model. The motivations and actions portrayed in both formal and informal leaders within these selected novels have provided insight into leadership effectiveness contingent upon situational variables. Even though naval military settings were used exclusively, the organizational and decision-making concepts involved apply to any bureaucratic setting whether it be civilian or military. In this chapter the Fiedler Contingency Model will be applied to major figures in the two models. A brief discussion of key situations will illustrate situations in which major figures made decisions.

The Situational Contingency Aboard the Bellipotent

The situation aboard the Bellipotent was highly favorable for leaders as indicated by the variables of Octant I in the Fiedler Contingency Model (see Figure 4 at the end of Chapter II). The graph further reveals that task-motivated leaders should perform best contingent upon the situational variables of Octant I. The inferences of

contingency substantiated by the analysis in Chapter IV can be summarized as follows using the three categories of variables on the left-hand side of the Contingency Model: (a) the leader-member relations were quite "good" primarily due to the general respect for Captain Vere by both officers and crew, (b) the task or mission was highly "structured" since the Bellipotent was governed by Admiralty directives as well as the Articles of War, and (c) leader position power was very "strong" resulting from a combination of both (a) and (c). Collectively, these three variables in Octant I of Fiedler's Contingency Model depict a very strong case for a positive situational favorableness for leaders in general and especially favorable for task-motivated (low LPC) leaders such as Captain Vere.

Captain Vere

Since Vere was portrayed and analyzed (Chapter VII) as a very task-motivated (low LPC) leader with respect to the Fiedler Contingency Model, the predictability of his effectiveness was quite favorable for him in an Octant I situation. Though there was a compassionate side to Vere's character, an important attribute of a relationship-motivated (high LPC) leader, his primary allegiance was to temporal law and martial duty in the accomplishment of his wartime mission. Briefly, Vere's natural and considerate inclinations toward Billy became secondary to his unwavering sense of duty.

It should be noted, however, that the uniqueness of Billy's action within existing circumstances caused a relatively "unstructured" task situation for Vere within the highly structured warship environment of the Bellipotent.

Coupled with a momentary straining of "leader member relations" during the pronouncement of verdict and subsequent execution scenes, evidence showed that Octant I variables had shifted to the right of Fiedler's Model to an Octant VII situation which is depicted as "unfavorable" for leaders. Nevertheless, task-motivated leaders are predicted to perform well in such a contingency and Vere succeeded in maintaining order at this crucial juncture of circumstances. Whether or not Vere was morally correct is not the question in terms of his leadership effectiveness. Through Vere's efforts to maintain the order of the martial system above human considerations, the Bellipotent is restored to its original, efficient equilibrium which had existed prior to Billy's impressment.

Claggart

Claggart was an example of the classic task-motivated (low LPC) leader with respect to Fiedler's Contingency Model and performed predictably in the contingent situational favorableness delineated in Chapter IV. His effectiveness was morally negative as his monomania to destroy Billy became masked by his subtlety and cunning deceit. Even the

onerousness of the master-at-arms' position aboard ship did not deter Claggart from accomplishing his personal mission amidst the general negative feeling toward him from the crew. However, as a task-motivated (low LPC) leader, Claggart did not consider positive personal relationships among co-workers as necessary to the achievement of a task.

Organizationaly, Claggart functioned effectively within the highly disciplined environment of the Bellipotent. Positional authority was well delineated and demanded little personal motivation of others to comply with the achievement of prescribed tasks. Claggart's paranoiac mistrust of others enhanced his carrying out his "police" function through a covert network of "understrappers." Thus, it is easy to see why a character such as Billy, so free of guile and deceit, must have confounded Claggart, the task-motivated, driving, organizational opportunist. Perceiving Billy as nothing more than innocent was too much for Claggart to bear and in his destruction of Billy Budd, he himself was destroyed.

Billy Budd

The evidence presented in Chapter V revealed that Billy Budd was an ideally charismatic, informal leader. His charisma was not used to influence others toward some economic or political goal in the Weberian sense. Rather, his presence seemed to make those around him more aware of their intrinsic, natural inclinations of humanism and

brotherhood. As an informal leader, Billy did not influence by power or positional authority but through personal example. The aura of his presence transcended "measured forms" of legal law and military regulation and was exhibited by a contagious, sincere concern for his fellow man.

Inferential analysis, therefore, showed that Billy Budd was an ideal example of the relationship-motivated (high LPC) leader with respect to Fiedler's Contingency Model. Personal relationships were extremely important to Billy even to the detriment of task accomplishment or physical survival. He possessed great trust for others, often interpreted as his tragic flaw of naiveté and innocence. Billy's natural goodness endeared him to his mates and superiors in formal leadership positions. Had he been tainted with the intelligent deceit of Claggart, the dutiful pragmatism of Vere, or the wise cynicism of the Dansker, Billy would have acted more as the worldly organization man and survived.

Predictably, Billy did not survive and could not have been effective in retaliation to Claggart's design. Unlike the contingency factors aboard the Rights-of-Man (Chapter IV) which reflected a combination of variables of Octants IV and V of Fiedler's Model, the situational contingencies aboard the Bellipotent heavily reflect leader favorableness in Octant I where task-motivated (low LPC) leaders are most effective. Almost from the beginning of his impressment when Billy was harshly commanded to sit down in the whale

boat taking him from his symbolic Rights, his charismatic naturalness was in conflict with the unnaturalness of military law and regulation. Though effective as a relationship-motivated leader in his duties and in his relations with all save Claggart, Billy can not and did not survive this man-of-war world but transcended to another.

The Situational Contingency Aboard the Caine

When Queeg reported aboard the Caine to relieve De Vriess, the contingency of situational variables is reflected by Octant I in Fiedler's Contingency Model. The obvious rapport between De Vriess and his men suggested "good" leader-member relations. The Caine's task was highly "structured" since her wartime mission of minesweeping and escort duty was well delineated by naval directives. Occasionally the "slackness" of the crew in port might imply an apparent unstructured situation aboard the "hooligan Navy" of the decrepit Caine which would suggest a shift to Octant III in Fiedler's Model. However, the performance of the Caine consistently exceeded that of other DMS's in accomplishment of prescribed tasks. This, coupled with the "strong" leader position power of DeVriess revealed an Octant I situation when Queeg reported aboard.

During the months following Queeg's assumption of command, the combination of situational variables produces contingencies toward the right-hand spectrum of Fiedler's Model. Queeg's negative influence on the officers and

crew produced a deterioration in leader-member relations. Incessant and absurd directives from Queeg caused a "circle of compliance" around the skipper with many tasks becoming relatively unstructured as compared to the situation under De Vriess when morale was much higher. Leader position power, however, remained "strong" due to Queeg's positional authority. In effect, Queeg caused a shift of variables to the combination depicted in Octant VII.

The critical event of the typhoon caused one more shift to the right from Octant VII to Octant VIII of Fiedler's Contingency Model. The variable of leader position power changed from "strong" to "weak" as Maryk assumed command under Article 184 despite protest from Queeg. Eventually Maryk's influence reinstated the situational variables aboard the Caine back to the original contingency of Octant I.

All of the octants of contingency just described (I, III, VII, and VIII) are conducive to effective performance by task-motivated leaders according to the parameters of Fiedler's Contingency Model. Even though Octants I and III are considered to be situations "favorable" for leaders and Octants VII and VIII "unfavorable" for leaders, task-motivated leadership should still be effective in all these octants. However, the premise of leader competence must be assumed if Fiedler's theory is to have validity and this quality was sorely lacking in Queeg.

Phillip Francis Queeg

Competence may be defined as the ability, fitness, or capacity to achieve an acceptable level of performance whether the results are concrete or abstract. Militarily, Queeg had the training to become a competent commanding officer (Annapolis, excellent sea duty), but his mental condition precluded effectiveness in a positive direction. Depicted as an extreme and somewhat absurd example of Fiedler's task-motivated leader, Queeg's paranoia, persecution complex, low self-esteem, and general neuroses negated his ability to be effective by acceptable standards regardless of the contingency octant in Fiedler's Contingency Model.

Of course, Queeg was effective in achieving adherence to his petty demands but the result was in a negative direction toward contingency octants VII and VIII which are "unfavorable" for leaders in general. Queeg regarded personal relationships as secondary (disdain for reserves and enlisted men) to accomplishing what he desired whether it was a military mission or his own petty tasks. Queeg's mental incompetence prevented him from perceiving the positive aspects of De Vriess' leadership characterized as effective in Octant I of Fiedler's Contingency Model. The negative aspects of Queeg's effectiveness in terms of leader incompetence were what was really on trial in The Caine Mutiny.

Steve Maryk

In stark contrast to Queeg, Maryk was an ideal blend of both the task-motivated and relationship-motivated leader in Fiedler's Model. The most competent shiphandler aboard the Caine, Maryk also understood the engineering plant, standard operating procedures of the fleet, and the most efficient ways to deploy sweep gear in order to accomplish the Caine's wartime mission. Maryk's functional/operational competence made him an effective leader not only in Octant I under De Vriess but also in Octants VII and VIII when he finally relieved the incompetent Queeg.

Just as important, Maryk's functional understanding of naval operations was coupled with his natural understanding of the crew. Maryk's socioeconomic background enhanced his insight concerning the crew's motivations and aspirations. Like De Vriess, he knew when to tighten and relax regulation in order to derive maximum performance from the crew in important situations.

In view of Maryk's dual motivation as a leader, he acted predictably with respect to the situational variables in Fiedler's Contingency Model as discussed in Chapters IX and X. Despite the fact that Maryk performed effectively in an operational sense, it was his lack of effectiveness politically which was his undoing and caused him to become the proverbial "man in the middle" between a wary crew, an incompetent skipper, and a disgruntled wardroom of officers.

Had he been more politically astute in terms of verbalizing his convictions effectively, Maryk might have gotten action from Halsey in having Queeg relieved.

Tom Keefer

The catalyst of the events which led to Queeg's relief was LT. Tom Keefer. The evidence presented in Chapter X portrayed Keefer as the epitome of the "disgruntled civilian." He is difficult to place in a leadership category within Fiedler's Contingency Model due to his reluctance or inability to act on his perceptions toward a meaningful conclusion. From the beginning of the novel through the court-martial, Keefer incited others to view Queeg in terms of mental incompetence, while protecting himself from blame with an evasive verbal dexterity.

Probably the most logical placement of Keefer in Fiedler's Contingency Model would be to consider his overall character as reflective of the relationship-motivated (high LPC) leader. He tended to value his rapport with his fellow officers as their informal leader against the tyrannical Queeg and even seemed sympathetic toward the crew's plight as victims of the navy system. Through devious design, Keefer was effective as an informal, relationship-motivated leader who instigated the events which ultimately led to the relief of Queeg.

Predictably, however, Keefer failed miserably when he was made skipper of the Caine. Ironically, he gradually

became like Queeg as he showed ineffectiveness in both Octants I and VII since task-motivated leaders normally perform best in these octants. Willie Keith had to take effective action during the kamikaze attack which produced the variables of an Octant VII situation.

Willie Keith

Willie represented leadership maturation with respect to Fiedler's Contingency Model. The evidence presented in Chapter X revealed Willie's changing perceptions of leadership roles (Queeg vs. De Vriess) which in turn defined his own self-perceptions as a leader. His decision to support Maryk in approving Stillwell's seventy-two-hour pass as well as to back Maryk in relieving Queeg were the moral decisions of a (high LPC) relationship-motivated leader. Had Willie gone strictly "by the book" as is typical of a task-motivated leader, he would have backed Queeg in his decision to maintain fleet course ordered by the tactical commander.

However, his competence as the last skipper of the Caine reflected the characteristics of a task-motivated (low LPC) leader. He was not only effective in the prevailing Octant I situation aboard the Caine but reacted predictably well during the Octant VII situation of the kamikaze attack. Briefly, Keith reflected much of the dual leadership motivation of Maryk but he was also a mature

intellectual version of the immature Keefer. This unique blend of leadership qualities enabled him to become effective in situational contingencies both favorable and unfavorable for leaders and he, therefore, survives Queeg, Maryk, and Keefer.

Comparison and Contrast of Leadership Types Portrayed
in Billy Budd and The Caine Mutiny

The conflicts portrayed in Melville's Billy Budd and Wouk's The Caine Mutiny provide some interesting parallels with respect to characters analyzed within the variables of Fiedler's Contingency Model. For example, both Captain Vere and Captain Queeg profess to be "by the book" men yet deviate from prescribed regulations when personal goals are at stake. Also, both characters are portrayed as task-motivated leaders who are effective in Octant I contingencies: Vere in a competent manner and Queeg in an absurd manner.

Another interesting parallel might be drawn between Claggart and Keefer. Each of these men acts as the catalyst in the progressive events aboard his respective ship. The key difference in character lies in the intensity of motivation and manner of taking action. Claggart is a task-motivated leader who becomes obsessed with a monomania to destroy Billy even at the cost of his own destruction. Keefer, a relationship-motivated leader, lacks fortitude

and commitment to follow through with his accusations even through Maryk's court-martial.

A final comparison and contrast of key leaders in the novels selected might include the characters of Billy Budd and Steve Maryk. Though symbolically different, they both become unfortunate victims of powerful systems. Obviously, Billy Budd is an idealistic portrayal of the more realistic, mundane Maryk. Billy is a highly charismatic informal leader, while Maryk is rather stolid and occupies a position of formal leadership. Ironically, their sincerity and natural inclinations are betrayed due to an inability to verbalize adequately their true feelings to higher authority. Billy reacts violently as a result of this inadequacy, and Maryk's situation could have been avoided entirely had he felt the confidence to approach Halsey without Keefer's aid.

Finally, it can be said that both Billy and Maryk are task-motivated in the expert performance of routine duty which only enhances respect for their competence. However, each character is also relationship-motivated as evidenced through admiration from their shipmates. Tragically, both Budd and Maryk become the ironic figures of destruction since both men are ideal in comparison to the system of regulated authority which ultimately destroys them.

Conclusion and Implications

The legal and moral issues depicted both in Melville's Billy Budd and Wouk's The Caine Mutiny provide a crucial dimension in the study of leadership. This dimension transcends statistical analysis, graphs, and models of theory, although analytical inferences can be made using a valid leadership instrument as has been done with Fiedler's Contingency Model. Actions can be documented as manifestations of leadership effectiveness, but they remain only one facet of the highly complex issue of leadership. This is the reason why an attempt was made here to present comprehensively both the psychological and moral influences on leader decision and action. While only two settings highly governed by traditional military regulation have been presented, inferences of a universal nature can be applied to most other organizations, especially if they are relatively large bureaucracies.

In terms of leadership effectiveness within virtually all organizations, it is crucial to match an individual to a situation with contingency variables favorable to his leadership style and psychological motivation. The underlying premise of Fiedler's Contingency Model is that it is far more feasible to change an individual's situation than to change the individual in order to enhance leader effectiveness. A highly task-motivated leader (low LPC) might be very effective in a production-oriented

job such as supervisor of an assembly line but would be relatively ineffective in a "think tank" situation or a research laboratory. In contrast, a highly relationship-motivated leader (high LPC) might be an excellent sales manager but would find it intrinsically difficult to initiate harsh measures on the assembly line to increase production quotas.

With regard to educational organizations, the implications of this study are enormous. Most school systems are bureaucratic in nature and necessarily subordinate individual responsibility to authoritative regulation with rare exception. Nevertheless, schools are institutions of socialization where human potential must simultaneously "self actualize" while becoming integrated into the greater society. Too often, personal, self-actualization is suppressed for the preservation of the school system, the socialization instrument of societal concerns. If teachers and administrators merely accept this fact as "what is" and are not conscious of what morally "should be," then schools will continue to mirror inhumane mindlessness rather than promote guidance for constructive progress in the human condition.

Bureaucracies have their Queegs, Veres, Keepers, Keiths, Maryks, Claggarts, and even an occasional Billy Budd. Each of these characters contains traits which we

might perceive in ourselves as leaders and most certainly traits which we might see in leaders above us either from a detached or subordinate point of view. Just as importantly, some of the characters may personify traits which we possess as leaders but do not perceive in ourselves even though they may be blatantly manifest to others, especially subordinates.

Hopefully this study has enabled the reader to recognize strengths and weaknesses with respect to leadership, not only within himself but also in superiors and subordinates. The personal inferences drawn from analysis of these pages might spark a realization about oneself or others which could be the beginning of one's becoming more effective through adaptation to leadership styles of superiors, or, in personally becoming a more effective leader.

In addition to a personal analysis relative to leadership effectiveness, equal attention must be given to changing situational variables in which leadership is exercised. Whether leaders affect the variables (possibly even mould them) or whether situations create leaders is a timeless and insolvable question. The interaction of leader and situation is usually a gray area which requires competent judgment. Black and white situations merely require the administration of appropriate regulations, while

considerations of moral, ethical, and psychological dimensions are difficult to depict in a model and play a key role in leadership. These dimensions, coupled with timing and utilizing the most appropriate leadership style contingent upon situational variables, continue to make leadership effectiveness a perpetual dilemma which evades quantitative or universal definition.

It is even possible for one man in an organization to have that vision and ability to do the right thing at the right moment that is necessary to cause the organization to develop to its highest. The right thing at the right moment is a key. The problem with allowing minimal participation in decision-making by the followers is that it is often used at times when it should not be used and then neglected at times when, perhaps, it would be the better approach. It may be better, as a general rule, to work towards allowing followers as much participation in decision-making as possible. Nevertheless, such an approach should not hamper or prevent a manager from acting unilaterally to provide, if he is able to do so, the best decision that is available for the moment. (Suttles, 1977, p. 124)

Questions for Further Study

Even though the Fiedler Contingency Model is a valid theory of leadership effectiveness, the fluid nature of variables among uniquely different organizations prevents universal acceptance of the graph line depicted in the Model. However, if one desires to evaluate leaders within his organization, the LPC Questionnaire (Chapter II, Table 1) used in conjunction with the Contingency Model would provide valuable input to overall generalizations and conclusions. The results might be utilized in making decisions concerning

personnel shifts or transfers in an attempt to change workers' situations in order to enhance leader effectiveness, productivity, and general morale.

With regard to the Contingency Model itself, one might wish to study the effect of time on situational favorableness. For example, many leaders who are transferred into an organization tend to be task-motivated initially, especially when radical change is expected by those in higher authority. However, as formal association gradually gives way to more personal, informal relationships, a leader might tend to rely more on his influence as an individual than on the dictates of his positional authority. What is the average time factor in transitional leader types and in which types of organizations?

In terms of actual design, which organizations lend themselves to one specific leadership type and how constantly does this type remain effective? This question could be studied with categories of organizations as points of reference (e.g., manufacturing, research, educational, service, medical, clerical, etc.). Also, what effect does design of the facilities in which people work, together with the number of people with whom they work, have on leadership effectiveness? Is leadership less effective in large, governmental, bureaucratic organizations than in smaller, privately-owned organizations? Which variables

may call for good management but not necessarily effective leadership?

Possibly, all good managers are not necessarily good leaders but effective leaders must also be efficient managers except in extreme cases of charismatic leaders. One point is very clear, however, and that is, most situations requiring good leadership today are complex and fluid in nature. While stagnant or relatively constant situations might call for either task- or relationship-motivated leaders depicted by the favorableness of the individual octants in Fiedler's Contingency Model, fluid situations call for a flexible style of leadership. In essence, this means that today's leaders must possess the judgment not only to recognize the key variables of a particular situation but also to exercise the appropriate leadership style necessary to effectively deal with the situation in order to accomplish organizational goals.

Thus, flexibility of leadership style is crucial to becoming an effective leader today. The ability to take necessary action in the most effective manner and at the right time requires both a task- and relationship-motivated leader. The Fiedler Contingency Model provides an illustration of key considerations in any situation and some insight into the traits of leadership tendency for effectiveness contingent upon situations. But the intangible

in organizational design can be altered to enhance situational favorableness for leaders.

Another study which might be researched is the distinction and overlap between concepts of management and leadership. Are the same situational variables of leader effectiveness also conducive to manager effectiveness? Is a good leader necessarily a good manager or vice versa?

Within the field of education, numerous studies could be conducted to determine those variables crucial to effectiveness in the classroom. Do teachers have to be good leaders or only efficient managers, or both? If the answer to this question is in the affirmative, what tangible and intangible traits are required for a teacher to be an effective leader with respect to varying age groups and nature of subject matter? If these traits and variables can be identified, how can performance be fairly and accurately measured? Would methods of evaluation include a written instrument and would the evaluator be an administrator or professional colleague?

If classrooms can be assumed to be fluid situations, how important would it be for teachers to be both task-motivated (must cover the material at all costs) and relationship-motivated (a student is regarded as an individual with unique needs)? Realistically, effective teachers are probably a blend of both leadership types but

why are they the exception rather than the rule? Can teachers really be trained to become more effective over time?

This last question raises the point of whether or not leaders can be trained. Most executive-training programs are based on the premise that this can be achieved by compressing experience (real or vicarious) into shortened time frames so as to enhance effectiveness of the personnel undergoing the training. However, all executives or trainees who undergo identical leadership training do not necessarily become more effective leaders regardless of leadership style. In short, to what degree can leadership be taught and learned and how can this be measured over time in various organizations?

One area of leadership which must be pursued further is the concept of perception. How an individual perceives himself as a leader and how he is perceived as a leader by others has a great deal to do with effectiveness within organizations. This factor of perception is crucial to charismatic leaders to the point that image (religious, political, organizational) virtually becomes more important than reality in the influencing of great numbers of people. A study of various types of media and their influence on the making and breaking of leaders through public perceptions would be invaluable to campaign managers of political candidates.

Media studies also might raise the question of "followership" perceptions in a changing world. In general, people today tend to distrust authoritative roles of leaders which were accepted in the past. To what extent did the advent of "self-awareness," civil rights, affluency, "me generation" thinking, rising expectations, and higher educational opportunities affect the public's willingness to accept leaders with positional authority?

Lastly, the Fiedler Contingency Model might be altered to reflect a greater flexibility required of today's organizational leaders. The depicted graph is linear as are the respective octants of situational variables. The predictability of effectiveness of a leadership type can be determined by the appropriate octants of situation favorableness. A study might be done to redraw the Contingency Model so that the octants of situational variables form a circle with the word leader at the center. This would continue to be useful for evaluating leadership in organizations where variables are relatively constant and leader style is also constant for maximum effectiveness. A circular construction of Fiedler's Contingency Model might be validated with highly diversified, ever changing organizations to make key organizational personnel aware of how to become more effective leaders.

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