



National  
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# *Leadership* in the Canadian Forces

DOCTRINE



Canada

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# Table of Contents

<b>FOREWORD</b> .....	iii
<b>PREFACE</b> .....	iv
<b>CHAPTER 1: ABOUT LEADERSHIP</b> .....	1
CF Leadership in a Changing World .....	2
Leadership Defined .....	3
Effective CF Leadership Defined .....	3
The Importance of Trust .....	5
Major Leadership Functions .....	6
Individual and Distributed Leadership .....	7
Leadership, Command, and Management .....	7
Conclusion .....	8
<b>CHAPTER 2: THE CF PHILOSOPHY OF LEADERSHIP</b> .....	9
Key Principles .....	10
Supporting Conditions .....	11
Conclusion .....	14
<b>CHAPTER 3: CF LEADERSHIP MODEL</b> .....	15
Overview of the CF Leadership Model .....	16
Leader Characteristics .....	19
Influence .....	20
Direct and Indirect Influence .....	24
Individual/Group Capabilities, Behaviour, and Performance .....	24
Situational Factors .....	25
Outcomes .....	25
Conclusion .....	26
<b>CHAPTER 4: LEADING PEOPLE</b> .....	27
Accomplishing the Mission .....	28
Leader Responsibilities .....	30
Principles of Leadership .....	31

<b>CHAPTER 5: LEADING THE INSTITUTION</b> .....	35
Creating the Conditions for Mission Success .....	36
Leader Responsibilities .....	38
<b>A FINAL WORD</b> .....	41
<b>ENDNOTES</b> .....	42
<b>SELECT BIBLIOGRAPHY</b> .....	43

# Foreword

**W**hether preparing for or conducting operations at sea, on land, or in the air, the combined influence of the Officer-NCM leadership team in directing, motivating, and enabling others represents a decisive contribution to the successful accomplishment of CF missions. Effective leadership is a core military capability. I am pleased, therefore, to endorse *Leadership in the Canadian Forces* as an authoritative guide to leadership training, education, and practice throughout the CF.

As a companion document to *Duty with Honour: The Profession of Arms in Canada*, the present manual extends many of the key ideas about Canadian military professionalism to CF doctrine on leadership. There is a direct correspondence between the professional attributes of responsibility, expertise, identity, and ethos and important leadership concepts. The CF's collective responsibility to society, for example, is what justifies the primacy of operations, and is expressed in greater detail in the stated duties and responsibilities of CF leaders. Professional expertise, meanwhile, maps directly onto the essential leader characteristic of competence. Professional identity contributes to and sustains the operational attributes of teamwork and cohesion. Finally, the values inherent in the military ethos also underpin the responsibilities of CF leaders to defend the rule of law, uphold professional and ethical standards of conduct, and enforce military discipline.

The two most striking parallels between our ideas about professionalism and our concept of leadership occur in the phrase 'duty with honour.'

Duty is about what we do, and in our leadership doctrine we say that a leader's duty is to serve the defence mission. Honour is about how we perform our duty, and in our leadership doctrine we say that leaders must perform their duties in accordance with the civic, legal, ethical, and military values embraced by the military ethos. We define effective CF leadership in terms that evoke the concepts of duty and honour: ***directing, motivating, and enabling others to accomplish the mission professionally and ethically, while developing or improving capabilities that contribute to mission success.*** Effective CF leaders get the job done, look after their people, think and act in terms of the larger team, anticipate and adapt to change, and exemplify the military ethos in all they do. This is what I expect of the Officers, Warrant Officers, and Non-Commissioned Officers assigned leadership responsibilities, and also what the Government and Canadian people expect.

**General Rick Hillier**  
*Chief of the Defence Staff*

# Preface

**T**his manual is intended for a general CF audience. It provides a unified doctrinal basis for all Officer-NCM leadership training and education in the CF. It also constitutes essential guidance for CF leadership practice at all levels. For leaders in training, the manual serves as an introduction to the CF view of leadership. For experienced leaders, it should suggest areas of additional study and development. For senior leaders, the manual highlights their unique strategic and professional responsibilities and provides a framework to assist them in developing the next generation of CF leaders.

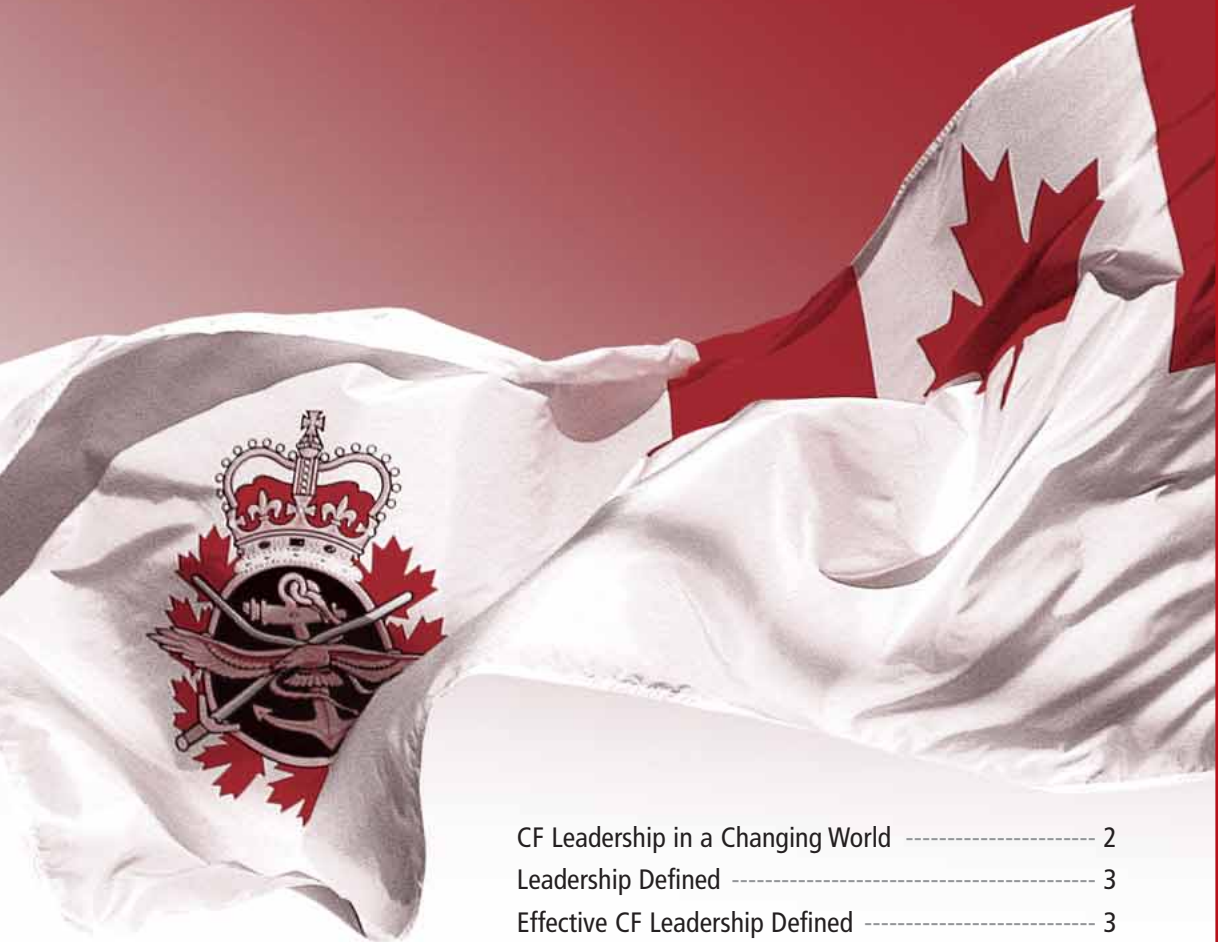
A detailed treatment of the concepts and theory supporting CF leadership doctrine, including additional reference material and illustrative historical vignettes, may be found in A-PA-005-000/AP-004 *Leadership in the Canadian Forces: Conceptual Foundations*. The *Conceptual Foundations* manual in particular contains part of the systematic theory-based body of knowledge that defines the military as a profession.

Guidance on leadership practice and techniques can be found in the applied manuals, *Leadership in the Canadian Forces: Leading People* and *Leadership in the Canadian Forces: Leading the Institution*.

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# About Leadership



- CF Leadership in a Changing World ----- 2
- Leadership Defined ----- 3
- Effective CF Leadership Defined ----- 3
- The Importance of Trust ----- 5
- Major Leadership Functions ----- 6
- Individual and Distributed Leadership ----- 7
- Leadership, Command, and Management ----- 7
- Conclusion ----- 8

*“Whenever people become involved in joint activities, a leadership structure develops.”<sup>1</sup>*

Edwin P. Hollander

*“Influence is the essence of leadership. Much of the activity of formal leaders involves attempts to influence the attitudes and behaviour of people, including subordinates, peers, superiors, and outsiders.”<sup>2</sup>*

Gary Yukl

*“Competent military leaders develop trust, focus effort, clarify objectives, inspire confidence, build teams, set the example, keep hope alive, rationalize sacrifice.”<sup>3</sup>*

Lieutenant-General (ret'd)  
Walter F. Ulmer Jr., US Army

**L**eadership often means different things to different people, and the numerous books and articles on leadership reflect the many contradictory opinions that people hold. While much of this literature is generally helpful in contributing to an understanding of leadership as a common social behaviour, only some of it is relevant to the practice of military leadership. This is because the demands and duties of leadership vary according to the setting in which it is practiced. The implications for CF Officers, Warrant Officers, and NCOs seem obvious. Functionally and professionally,

it is essential that they understand what it means to be a leader in the armed forces of Canada.

## **CF LEADERSHIP IN A CHANGING WORLD**

As reflected in a broad array of tasks across the spectrum of conflict, the mission of the Canadian Forces (CF) is to defend Canada and Canadian interests while contributing to international peace and security. Leadership in the CF is about serving this mission. For the foreseeable future, this mission will be played out in a more complex and unpredictable security environment—reflecting a ‘new world disorder’ of multiple threats, regional instability, and loosely networked anarchy. It will require today’s military

professionals to perform a broad range and mix of roles, often sequentially or simultaneously within one mission, and including everything from high-intensity combat and peace enforcement to peacekeeping, the interdiction of illegal activities, frontline diplomacy, nation building, and humanitarian relief. It will also involve working with many players—traditional military allies as well as new military partners, other Government departments and agencies, a variety of non-governmental organizations, the media, and the civil representatives and peoples of different cultures and national groups.



Whether Officers and NCMs are formally appointed to positions of responsibility and authority or temporarily assume leadership roles, the primary duty of CF leaders, broadly speaking, is to use their authority and influence to accomplish the defence mission in a professional manner. CF leaders have related and correspondingly broad duties to build an internally co-ordinated and cohesive institution, to be diligent in taking care of the men and women who serve in the CF, and to develop, adapt, and improve military capabilities in the face of changing conditions and emerging challenges.

**LEADERSHIP DEFINED**

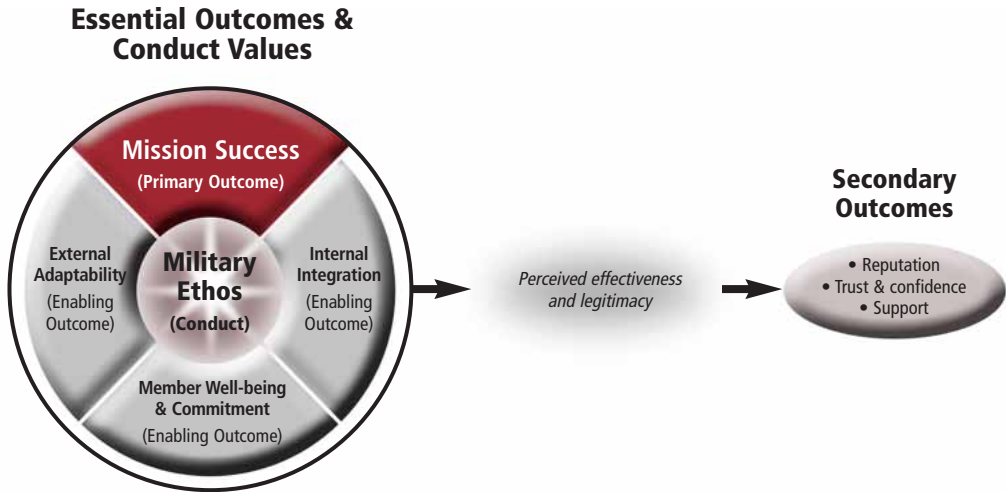
Leadership may be defined as *directly or indirectly influencing others, by means of formal authority or personal attributes, to act in accordance with one’s intent or a shared purpose.* This definition

is generic and value-neutral. It is broadly inclusive of all forms of leadership across a wide range of settings and times. It makes no statements about what might be good or bad, effective or ineffective, leadership.

**EFFECTIVE CF LEADERSHIP DEFINED**

Leadership roles in the CF, like leadership roles in other formal organizations, exist to serve collective effectiveness. Therefore, leader effectiveness in the CF must be defined in relation to CF effectiveness. As illustrated by Figure 1, collective effectiveness in the CF can be uniquely defined in terms of five major dimensions: mission success, internal integration, member well-being and commitment, external adaptability, and the military ethos.

Figure 1 | CF effectiveness framework.



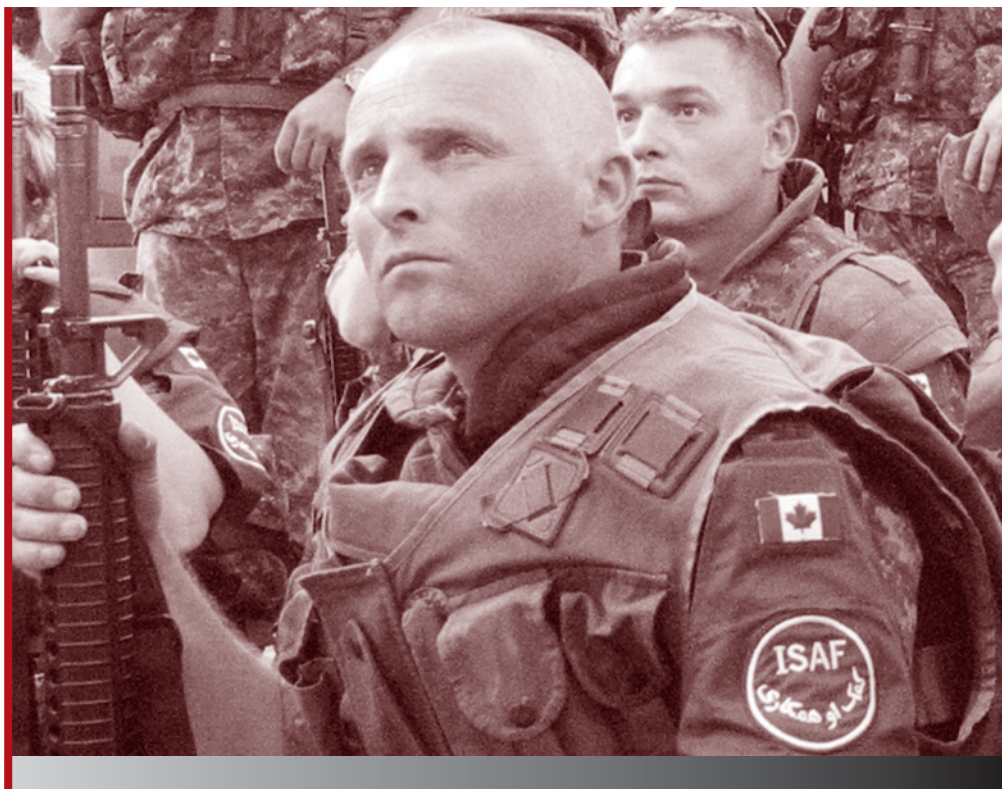
- **Mission Success** expresses the outcome of primary importance to the CF. In every military mission across the spectrum of operations—from a search-and-rescue sortie to a campaign involving a multi-national coalition—the dominant imperative is to accomplish the mission, often at some risk to the participants, and at times in spite of significant human, materiel, and financial costs. The *primacy of operations* that drives collective planning and action, and the *unlimited liability* that members assume through military service, are direct consequences of the overriding importance we place on mission success as an institutional value.
- **Internal Integration** reflects a concern for the internal organization and stability of military units, systems, and the CF. More specifically, internal integration refers to the co-ordination of in-house functions and processes and the achievement of teamwork and cohesion among the people who make up a unit or organization. The parts must work together.
- **Member Well-being and Commitment** signifies a concern for the people who serve in the CF and the quality of their conditions of service. The CF is its people. Demonstrating care and consideration for CF members is a both a practical and a moral obligation.
- **External Adaptability** reflects a concern for the external operating environment and the capacity of a military unit, system, or the CF to anticipate and adapt to changing conditions. Adaptability is crucial to institutional survival and operational success.
- **The Military Ethos** encompasses values that describe and define professional conduct. This behavioural dimension of CF effectiveness includes: the civic values of liberal democracy; values subsumed by the rule of law; ethical values governing our treatment

of others and the conduct of operations; and the traditional military values of duty, loyalty, integrity, and courage. The ethos is the essence of the warrior's honour.

The first four dimensions of effectiveness—mission success, internal integration, member well-being and commitment, and external adaptability—represent essential outcomes, or what we strive to achieve. Mission success is of primary importance; the other three outcomes are enabling outcomes, important aspects of effectiveness in their own right, but also because, as force multipliers, they enable or contribute to mission success. The remaining dimension of effectiveness, the military ethos, prescribes general standards of conduct and sets boundaries on how outcomes may be achieved. As discussed in *Duty with Honour* and indicated here, the military ethos is central to our concepts of both the profession of arms and military leadership.

To the extent that the we generally achieve essential outcomes in ways consistent with our conduct values, we will be perceived as effective and maintain our legitimacy in the eyes of the Government, the Canadian public, military allies, and the international community. Perceived effectiveness and legitimacy, in turn, affect a number of secondary outcomes, which should also be of concern to all CF members: the professional image and reputation of the CF; trust and confidence in the CF; and public support for the CF.

At every organizational level of the CF, from a small team to the entire institution, these five value dimensions establish the *common foundation* of CF leadership. As such, they should not only focus the attention of the Officer-NCM leadership cadre but should also unify their efforts as a professional team.



In accordance with the belief that leadership serves collective purposes and the collective good, effective CF leadership may be formally defined as *directing, motivating, and enabling others to accomplish the mission professionally and ethically, while developing or improving capabilities that contribute to mission success*. Effective CF leadership is about accomplishing essential outcomes but is also about achieving these outcomes in ways that are consistent with the military ethos. The CF leadership model is a values-based model, one that gives shape to the professional ideal of duty with honour.

## **THE IMPORTANCE OF TRUST**

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Trust in leadership is positively related to individual and group performance, persistence in the face of adversity, the ability to withstand stress, job satisfaction, and commitment to continued service. A climate of trust between leaders and led is also positively related to such 'good soldier' qualities as conscientiousness, fair play, and co-operation. Whether trust is based mainly on demonstrated leader competence, the care and consideration for others displayed by a leader, or on perceptions of a leader's character (integrity, dependability, and fairness), the evidence

supporting this common understanding is compelling and robust. It follows that an important part of the leader's job is to build and maintain healthy trust relationships with subordinates, peers, and superiors.

Leaders build and maintain trust through their decisions, actions, and interactions. Hence effective CF leaders at all levels:

- demonstrate high levels of proficiency in the performance of core functions and take advantage of opportunities to enhance their professional expertise and competence;
- exercise good judgment in decisions that affect others and do not expose people to unnecessary risks;
- show trust and confidence in their subordinates by giving them additional authority and involving them in decisions where circumstances allow;
- demonstrate concern for the well-being of their subordinates, represent their interests, and ensure they are supported and taken care of by the organization;
- show consideration and respect for others, treating subordinates fairly—without favour or discrimination;
- focus on the mission, maintaining high standards and honest and open communications;
- lead by example, sharing risks and hardships and refusing to accept or take special privileges; and
- keep their word and can be counted on to honour their obligations.

## **MAJOR LEADERSHIP FUNCTIONS**

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From lower to higher levels of responsibility and authority in an organization, there are obvious differences in the focus, scope, and time horizon of leaders. Generally speaking, the leadership environment becomes more ambiguous and the leadership task becomes more complex with increasing rank and responsibility.

At lower to middle rank levels in the CF, Officers and NCMs appointed to positions involving leadership responsibilities are typically engaged in directing, motivating, and enabling others to accomplish the day-to-day defence missions and tasks that have been assigned to the CF. Because of the requirement for a lot of face-to-face interaction and direct influence, this leadership function is described as *leading people*, and generally corresponds to the tactical and operational levels of command and activity.

At higher rank levels, senior leaders and their staffs are uniquely responsible for sustaining current military capabilities and systems while planning and developing the strategic and professional capabilities needed to ensure that the CF will remain effective into the future. This leadership function is described as *leading the institution*, and generally corresponds to the military-strategic and national-strategic levels of command and activity.

As CF leaders move up in rank and assume greater responsibility and authority, it is essential that they broaden their perspective, knowledge, and skills so that they are able to provide effective leadership to both people and the institution.

## INDIVIDUAL AND DISTRIBUTED LEADERSHIP

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Conventional ideas about leaders and their influence on people and organizations tend to focus on heroic individuals and their efforts to alter circumstances or shape events. But no one person can master and control everything in a large and complex organization such as the CF, nor is it reasonable to expect anyone to do so. From time to time, outstanding individuals will have a significant effect on others and make substantial contributions to the CF. Over the long haul, however, the effectiveness of the CF will depend more on developing in breadth and depth a strong Officer-NCM *leadership team* with a shared sense of responsibility, professional identity, values, and purpose.

Distributed leadership is about sharing the responsibilities of leadership, vertically and horizontally within teams, units, formations, and the CF as a whole.

## LEADERSHIP, COMMAND, AND MANAGEMENT

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Leadership is an essential role requirement for commanders and managers but is not the same thing as command or management. Command is bounded by the lawful authority delegated to a commander and may only be exercised down the chain of command. Management is similarly bounded by the authority delegated to a manager and may only be exercised down the managerial chain of command. Leadership, on the other hand, may be exercised by anyone, regardless of organizational position. Moreover, purposeful influence, that is, influence intended to achieve a CF objective, may not only be directed down the chain of command but also up and across the chain of command and even beyond the boundaries of the CF. In sum, leader influence works in

concert with the formal authority of command and management but also operates independently of such formal authority.

Command and management may also be described in terms of *an array of functions* associated with an appointment or as a set of activities related to those functions. As functions or activities performed by a military commander for example, command typically includes, but is not limited to, such things as planning, problem-solving and decision making, organizing, informing, directing and leading, allocating and managing resources, developing, co-ordinating, monitoring, and controlling. The essence of command, however, is the *expression of human will*, as reflected in the concept of *commander's intent*. Nearly everything a commander does—planning, directing, allocating resources, monitoring—is driven and governed by the commander's vision, goal, or mission, and the will to realize or attain that vision, goal, or mission. As such, command is the purposeful exercise of authority—over structures, resources, people, and activities.

Like command, management entails responsibilities for a similarly broad range of functions—planning, problem-solving and decision making, organizing, informing, directing and leading, allocating and managing resources, developing, co-ordinating, monitoring, and controlling. What clearly sets military command apart from management are the unique authorities of military commanders to resort to large-scale lethal force, to compel subordinates to go into harm's way, and to dispense a distinct military justice with substantial powers of punishment. But in other respects, there are many functional similarities, including the expectation that commanders and managers will not only lead but that they will lead well.

## CONCLUSION

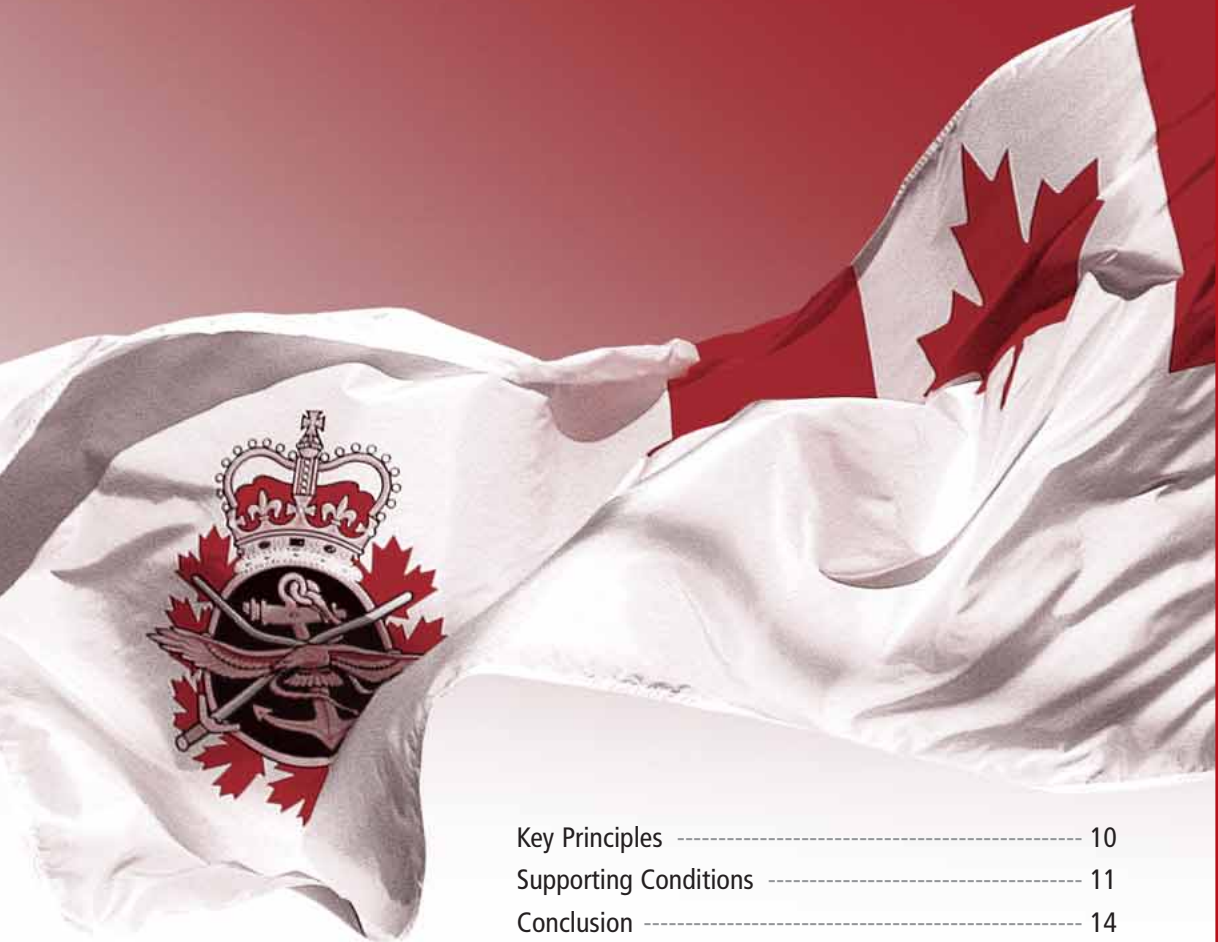
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Military leadership has never been an easy undertaking, but in today's strategic, military, social, and domestic environments, it has become an especially complex and demanding activity. Today's leaders in the CF must deliver on a broad range of demanding operational roles within a constrained resource base, must continue to strive for a common identity and teamwork within a more varied and complicated human resource landscape, and must also satisfy heightened

public expectations of military professionalism. And all this must be accomplished in the context of traditional responsibilities:

- resolving conflict through preventive interventions if possible and force of arms when necessary, and
- developing the necessary capabilities that will assure the CF's success in its military assignments.

# The CF Philosophy of Leadership



Key Principles .....	10
Supporting Conditions .....	11
Conclusion .....	14

*"In a hierarchy, delegation is the primary tool for creating opportunity for more leaders... If delegation is the norm, each leader can create subordinate leaders."*<sup>1</sup>

Gifford Pinchot

*"There is no substitute for the fundamental mind-set that members of the profession, regardless of rank, are colleagues, engaged in a common enterprise that matters deeply to them. If that mind-set is present, then each member feels a loyalty to the other, grounded in his or her common professional identity."*<sup>2</sup>

Martin Cook

*"Canadian military values— which are essential for conducting the full range of military operations, up to and including warfighting — come from what history and experience teach about the importance of moral factors in operations... These military values are understood and expressed within the Canadian military ethos as follows: Duty...Loyalty...Integrity... Courage..."*<sup>3</sup>

*Duty with Honour: The Profession of Arms in Canada*

*"Values are real to the degree that we are prepared to risk something in order to make them prevail. Values are virtual when they remain rhetorical, when the commitments we make are not followed with action."*<sup>4</sup>

Michael Ignatieff

**A**s used in this chapter, the term 'philosophy' refers to a set of principles or ideas that should inform all aspects of practice. The CF philosophy of leadership is based on two such principles: distributed leadership and values-based leadership.

## KEY PRINCIPLES

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The CF philosophy of leadership reflects the demands of contemporary operations, which are typically carried out by dispersed elements, may be high tempo, and often require junior leaders as well as senior leaders to think and act independently to achieve the military objective. It is also compatible with the belief that all members share the military's fundamental responsibility to accomplish the defence mission, with members' expectations that they be treated like professionals, and with the social and cultural values of Canadian liberal democracy. The CF philosophy of leadership is based on the key principles of *distributed leadership* and *values-based leadership*. The principle of distributed leadership addresses the question of who should lead, while the principle of values-based leadership addresses the question of how CF Officers and NCMs should lead.

### *Distributed Leadership.*

Distributed leadership means three things:

- that the essential functions of leadership should be shared to varying degrees with peer and subordinate leaders;



- that the leadership potential of Officers, Warrant Officers, and NCOs down to the lowest level of formal authority should be fully developed and exploited; and
- that the latent leadership potential of all CF members should also be given an opportunity for development and expression.

Distributed leadership emphasizes the importance of the *leadership team*, which may be variously described in terms of Officers and NCMs, the leadership cadre in a unit, or the senior staff in a headquarters. Distributed leadership stresses the collective contribution that different leaders performing complementary functions can make to performance and effectiveness, and can be observed in such actions as joint planning and decision making, or temporarily assigning leadership on a mission or task to the most experienced or best qualified individual. Distributed leadership also fosters the basic understanding that all CF members have a personal and professional duty to assume a leadership role when there is no superior present to provide direction and the threat of failure looms or when an opportunity presents itself to gain a tactical, operational, or strategic advantage. Such occasions could arise in peace or war or any circumstance in between. This is when their sense of responsibility for the group, the unit, the mission, or the profession should most obviously oblige them to take charge of the situation and others and get the job done.

### ***Values-based Leadership.***

Values-based leadership means that leaders are to be guided in their decisions and actions by the institutional values that define CF effectiveness: accomplishing the mission; contributing to and acting as part of a co-ordinated and cohesive team; developing and looking after CF members;

anticipating and adapting to change; and exemplifying and upholding the ideals of conduct inherent in the military ethos. The civic, legal, ethical, and military values embraced by the military ethos are especially important, because they are intended to guide decisions and actions in all circumstances. As discussed in *Duty with Honour*, Canadian society is based on civic values emphasizing fundamental freedoms and equal rights. Our legal values are premised on the rule of law, which affirms: that the social order established under reasonable laws made by reasonable people is preferable to other forms of social order; that the law is the supreme authority in society; and that everyone is equally subject to the law, including government officials, the armed forces, and private individuals. As the ultimate defenders of Canadian society, it is imperative that all CF personnel, but especially CF leaders, be imbued with these values. CF ethical values are based on the principles of respect for others, service to Canada, and obedience to authority, while principles incorporated in the law of armed conflict govern conduct in operations. The military values of duty, integrity, loyalty, and courage flow from the CF's unique responsibility to society and the uncompromising demands of military service.

The principle of values-based leadership is fundamental to the issue of how CF leaders ought to lead. It affirms that leadership practice, like service in the CF, should be governed by the professional ideal of duty with honour.

## **SUPPORTING CONDITIONS**

For the CF philosophy of leadership to thrive, it has to be supported by the right conditions. These include: broadly based leader development; the appropriate delegation of authority; professional cohesion; an open culture; and a living ethos.

### ***Broadly Based Leader Development.***

This condition is considered to provide the best fit with the demands of contemporary and future operations. As noted earlier, a number of technical and military developments have made accelerated decision-making, initiative, and coordinated independent action highly valued capabilities across the spectrum of operations and at increasingly lower levels of responsibility and authority. This is why the CF philosophy of mission command explicitly recognizes the necessity of allowing subordinates maximum freedom of action consistent with commander intent.

Operating requirements call for a similar approach to leadership. What this means is that leading should not be viewed solely as the responsibility of the people wearing the highest rank. Everyone has to accept some responsibility for the mission and the effectiveness of the team, the unit, and ultimately the CF. Everyone, regardless of rank, should be considered as part of a system of interlocking relationships based on both position and personality. Therefore, with respect to

the question ‘Who should lead?’ the CF answer is: in principle, everyone—in particular Officers and NCMs assigned to positions of responsibility, but, also, anyone else presented with the opportunity or called upon by circumstances to lead. Given this requirement, leadership training and development should start relatively early in every CF member’s career and, based on demonstrated potential and increased responsibility, should be continual and progressive thereafter. The objective of the CF’s leadership-development program should be to create a broadly distributed capability for both position-based leadership and emergent leadership. Leader development is critical to operational success and the professional health of the CF.

### ***Appropriate Delegation of Authority.***

Like the doctrine of mission command, the philosophy of distributed leadership encourages the practice of delegating authority to create subordinate leaders and the capability for independent action in teams and units. This is not



the same thing as universal empowerment. Not everyone is at the same level of readiness to operate independently or to lead or command others, so that to delegate authority indiscriminately would do some people a disservice and possibly jeopardize mission accomplishment. As a general rule, the delegation of authority must be balanced against the readiness of the person to whom authority is delegated; subordinates should be given as much authority as they can competently and responsibly handle. Beyond that, to satisfy developmental objectives, it may sometimes be desirable to give them very challenging duties and correspondingly greater authority (so-called 'stretch' assignments). The corollary to the general rule is that, whenever authority is delegated to subordinates, the canons of accountability require that their performance be monitored, and energized, re-directed, facilitated, or corrected as necessary.

### ***Professional Cohesion.***

*Duty with Honour* defines a profession essentially as an exclusive group of people voluntarily performing a service to society and unified by a common body of expertise and code of conduct. Consistent with these ideas, the condition of professional cohesion promotes distributed leadership through the equal professional status accorded all Officers and NCMs of the Regular Force and Primary Reserve. There is an important but subtle distinction that applies here. While CF members have different competencies, perform different roles, and are assigned different levels of authority commensurate with their roles and responsibilities, each member of the profession of arms in Canada is considered on some level as an equal member of a distinctive community. In this respect, it is essential that CF Officers, Warrant Officers, and NCOs think of themselves as belonging to the same leadership team, sharing a common set of values and

engaged in a common enterprise. Consequently, all have a shared responsibility and right to contribute to the health and functioning of the profession, principally through the process of mutual influence. By building a strong sense of, and attachment to, the professional community, it is reasonable to expect that each member will be motivated to answer the call of duty when required and use whatever influence he or she has to serve the profession's purpose in society.

### ***An Open Culture.***

An open culture means that people are encouraged to engage in broad inquiry, to think critically, and to venture and debate new ideas in the interests of contributing to collective effectiveness. These are the means by which any organization or society is able to manage change and evolve. In short, they are the characteristics of a learning and adaptive culture and what CF leaders must foster if they are to take full advantage of the organization's intellectual and social capital. This condition reflects the belief that knowledge grows and society thrives most advantageously in an environment that encourages the free exchange of reasoned ideas reasonably presented and reasonably evaluated. Hence, in an open culture, the taken-for-granted assumptions about leadership are: that people in positions of authority are receptive to upward influence; and that no one needs permission to lead.

### ***A Living Ethos.***

Values express what we consider useful, important, and desirable. They are comparable to high-level statements of intent—intentions about what we want to achieve and about how we should go about it. Because they motivate and guide behaviour, values provide a highly effective means of allowing individuals and

teams considerable freedom of action while, at the same time, ensuring that their behaviour is both appropriate and professional. In an operating environment in which independent thinking and action are increasingly important to effectiveness, values-based discipline and leadership serve as a reliable and flexible guide to action.

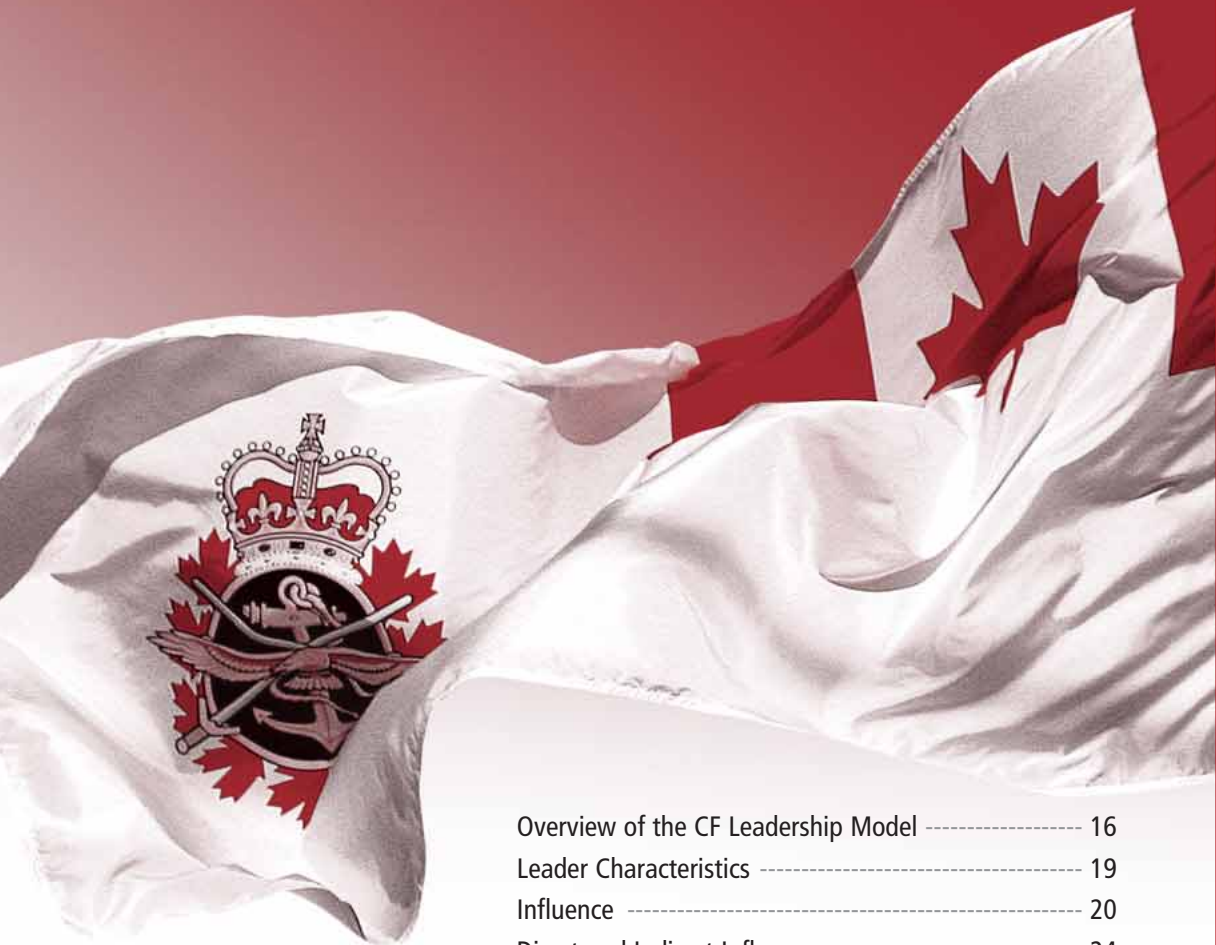
To motivate and guide behaviour, however, values must be a living part of the CF. Hence, the civic, legal, ethical, and military values at the heart of the military ethos must be reflected in day-to-day decisions and actions. They cannot be just words on paper or empty commitments. They must be publicly visible consistent patterns of behaviour. Leaders make the difference. By internalizing the values of the military ethos and living by them, by instilling the ethos in others, by establishing and maintaining a professional culture, by protecting the professional reputation of the CF, by facing and resolving problems lawfully and ethically, leaders make values real.

## CONCLUSION

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These are the elements of values-based and distributed leadership. It is a basic duty of leaders at all levels to instill and uphold the CF's professional values and to make distributed leadership a reality in their team, unit, or organization. What this philosophy should ultimately provide, if applied correctly, is the confidence that CF Officers, Warrant Officers, and NCOs can and will develop the capabilities necessary to ensure mission success, and that they can also direct, motivate, and enable others to accomplish the mission ethically and professionally.

# CF Leadership Model



Overview of the CF Leadership Model .....	16
Leader Characteristics .....	19
Influence .....	20
Direct and Indirect Influence .....	24
Individual/Group Capabilities, Behaviour, and Performance .....	24
Situational Factors .....	25
Outcomes .....	25
Conclusion .....	26

*“Leadership is only one of many determinants of organizational performance.”<sup>1</sup>*

Gary Yukl

*“Leadership affects everything.”*

Anonymous

*“model n. A representation that mirrors, duplicates, imitates or in some way illustrates a pattern of relationships observed in data or in nature... When used in this sense, a model becomes a kind of mini-theory, a characterization of a process and, as such, its value and usefulness derive from the predictions one can make from it...”<sup>2</sup>*

Arthur Reber

Taking a comprehensive systems view of CF functioning, it is clear that collective performance and effectiveness are jointly determined by many factors: the knowledge, skills, and personality of individual CF members; the group characteristics and dynamics of teams and units; and the institutional structure, policies, technology, and culture of the CF as a whole. Hence, leadership, whether examined at the team/unit level or at the strategic level, is only one of many variables that contribute to collective performance. On the other hand, leaders not only influence people directly, as their role is conventionally understood,

but they can also shape the internal and external environments that influence performance and behaviour indirectly. Viewed in this way, CF leaders can potentially affect all aspects of CF functioning.

### **OVERVIEW OF THE CF LEADERSHIP MODEL<sup>3</sup>**

As part of the theory-based body of knowledge that defines the military profession, the simplified CF leadership model shown in Figure 3 is based on a systems view of leadership in formal organizations and is intended to illustrate the linkages among the key variables that contribute to collective performance and effectiveness. The model consists of four major classes of variables: leader characteristics and behaviour; individual/group variables; situational factors; and outcomes. Partitioning Figure 3 according to the four

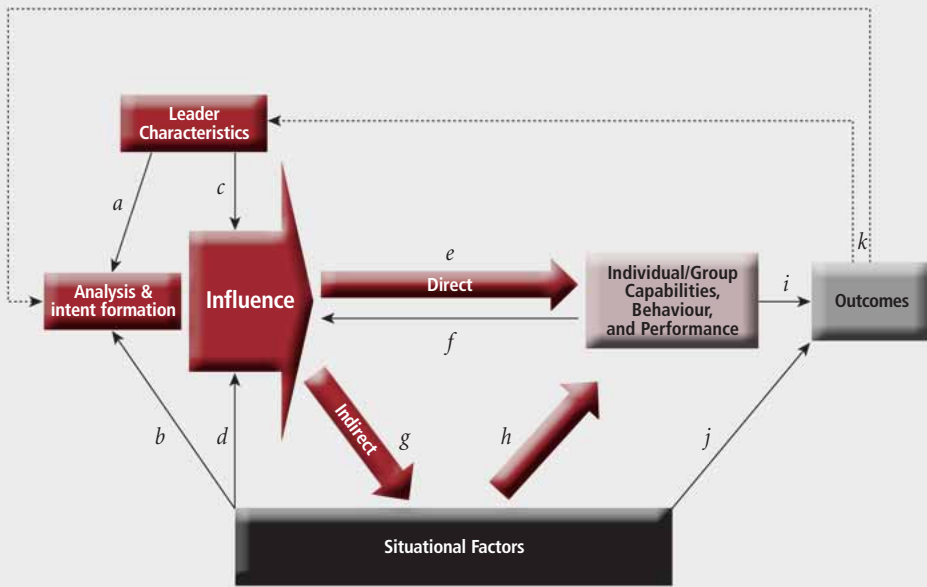
major classes of variables, *leader characteristics and behaviour* occupy the top-left and centre-left areas of the model, *situational factors* are located in the bottom area of the figure, *individual and group variables* are in the centre of the schematic, and *outcomes* are shown on the far right of the model. The purpose of the model is to illustrate:

- how personal and situational characteristics make leader influence possible;
- how leader influence affects the capabilities, behaviour, and performance of individuals and groups;

- how leader influence affects the capabilities and performance of CF systems, the institution as a whole, and other aspects of the situation; and

- ultimately, how people and situational factors generate essential outcomes and other indicators of effectiveness.

**Figure 3 | Simplified CF leadership model.**



How personal and situational characteristics make leader influence possible:

- **Relationship a.** Whether they are employed in solving a tactical-level problem or a strategic one, technical, cognitive, social, and other competencies are the basis of a leader’s personal power and affect the quality of a leader’s analyses, decisions, and plans.
- **Relationship b.** Analysis and intent formation are also influenced by various situational factors. For example, a leader’s consciousness of his or her responsibilities, channels attention, thinking, imagination, and decision making. Situational constraints and opportunities also guide and mould

behaviour. Constraints operate at all levels and may apply to time, resources, or behaviour. For example, constraints on behaviour can take the form of the rules of engagement applicable to a specific mission, or Government policies that pertain to the CF as a whole. Similarly, for the prepared and situationally aware leader, opportunities that get noticed can result in dramatic changes in plans or direction at the tactical, operational, or strategic level.

- **Relationships c and d.** The influence processes depicted in the central portion of Figure 3 are the essence of leadership. As an expression of intent, leader influence

may be either enhanced or diminished by the leader's personal characteristics and situational factors. A leader's technical and tactical competence, for example, will earn the confidence of subordinates and enhance the leader's ability to obtain their willing support. Similarly with respect to situational factors, a unit climate characterized by pride and professionalism makes it easier for a commanding officer to communicate intent and implement plans.

#### How leader influence affects the capabilities, behaviour, and performance of individuals and groups:

- **Relationship e.** Outcomes are achieved through others, which means that influence is typically applied in a face-to-face way to modify the capabilities, behaviour, or performance of individuals and groups. In addition to influencing subordinates, leaders may also influence the decisions and actions of peers, superiors, and people external to the organization.
- **Relationship f.** Conversely, any of these people may equally attempt to pro-actively influence or reactively counter-influence whoever is doing the leading. These observations should make it clear that leadership is a dynamic interactive process, involving both hierarchical and mutual influence.

#### How leader influence affects the capabilities and performance of CF systems, the institution as a whole, and other aspects of the situation:

- **Relationship g.** Leader influence is also exercised indirectly, to shape task, group, system, institutional, or environmental characteristics. According to their level of responsibility and authority, CF leaders may change or influence an operational procedure (e.g., a tactical innovation),

organizational structure (e.g., to process-based rather than functional), system capabilities (e.g., new technology or doctrine), institutional characteristics (e.g., unit climate, organizational norms and culture), or conditions in the external environment (e.g., through public relations activities, advice on national security policy). In this way, leaders attempt to improve situational favourability and create the conditions necessary for effective performance and mission success.

- **Relationship h.** Through indirect influence of this kind, leaders enhance individual and group capabilities and performance. When group, system, or institutional improvements become stabilized (e.g., tactical drills, integrated technologies, standard operating procedures, professionalism, cultural norms), they make the process of leading easier and may even substitute, in some cases, for weak leadership.

#### How people and situational factors generate essential outcomes and other indicators of effectiveness:

- **Relationships i and j.** As indicated by Figure 3, the key determinants of CF effectiveness are its people and its systems. The performance of CF members and the performance of various CF systems contribute jointly and independently to the essential outcomes of mission success, internal integration, member well-being and commitment, and external adaptability. The performance of people and systems also affects such secondary outcomes as the CF's image and reputation and public attitudes toward the military. However, events are not entirely subject to human control, and therefore outcomes are not predetermined even in the best-equipped,



best-trained, and best-led military forces. Desired outcomes may be thwarted by human error, natural phenomena, the behaviour of independent actors, equipment failure, chance, and other uncontrollable factors. Even tactical-level decisions and actions can have a strategic impact. Consequently, leaders must constantly be alert to the possibility of plans and actions miscarrying and strive to contain or offset identifiable risks.

■ **Relationship k.** Naturally, outcomes achieved reflect back on leaders, affecting their subsequent behaviour. Outcomes also influence how a leader's capability and effectiveness are perceived by subordinates, peers, and superiors, and thus may either enhance or diminish a leader's legitimacy and capacity to lead.

## LEADER CHARACTERISTICS

There is neither a definitive list of essential leader qualities nor any guarantee that the possession of all or most of the commonly identified attributes will result in effective leadership. Nevertheless, CF Officers and NCMs can improve their capacity to be effective leaders by acquiring and developing competencies in the following five domains:

- **Knowledge and skills.** A high level of proficiency in technical and tactical skills is mandatory for Officers and NCMs in direct command and leadership positions. Senior leaders at the operational and strategic levels require broader knowledge and expertise relating to strategic systems and institutional functioning.
- **Cognitive ability.** Analytical skills and creative thinking are essential abilities for all leaders. The ability to handle abstract concepts and ideas, principled moral reasoning, and professional judgement increase in importance at senior leadership levels.
- **Social capacities.** At all levels of leadership, interpersonal skills such as communication, persuasion, and conflict management are critical to working with others. Strategic roles and functions require a broader repertoire of social-influence and communications skills to manage multi-level relationships inside and outside the CF and to lead strategic change.
- **Personality traits.** Effective leaders exemplify personal integrity in their decisions and actions. They also demonstrate a number of personal characteristics that relate to adaptability: openness to experience, flexibility of thought and behaviour, and self-assurance.
- **Professional motivation and values.** Professionalism reflects a strong commitment to the social responsibilities of the profession, a high valuation of professional competence and military skills, and a personal identification with the values of the Canadian military ethos.

Many of the attributes that underpin effective leader performance are acquirable to a greater or lesser degree. By taking full advantage of professional development opportunities and pursuing a personal program of self-improvement, Officers and NCMs performing leadership roles can ensure that they will be ready, confident, and able to lead.

## **INFLUENCE**

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Formal leadership in the CF is based on lawful authority. This relationship reflects the high value that Canadian society places on the rule of law. Under the rule of law, the law is the means by which social order is established and maintained, and is the supreme authority in society. No one is above the law, and actions by the state and its representatives must be sanctioned by the law. Under the rule of law, CF leaders have obligations (1) to obey the law, that is, to use any authorities and powers provided by the law in accordance with the law, (2) to instruct CF members on their obligations under the law, and (3) to uphold the law, that is, to defend the rule of law as an important societal value and to enforce discipline and obedience to the law.

The relationship between military leadership and obedience to lawful authority is clearly and forcefully expressed in two ways. First, pursuant to section 19 of the *National Defence Act, Queen's Regulation and Order* 19.015 establishes the lawful authority of superiors as follows: "Every officer and non-commissioned member shall obey lawful commands and orders of a superior officer." Second, section 83 of the *Code of Service Discipline* provides a coercive support to this lawful authority: "Every person who disobeys a lawful command of a superior officer is guilty of

an offence and on conviction is liable to imprisonment for life or to less punishment." Lawful authority allows military leaders, even of junior rank, to get difficult things done, while powers of punishment help ensure the maintenance of military discipline.

Lawful authority and powers of punishment alone, however, will not make an Officer, Warrant Officer, or NCO a good or effective leader. The powers that come with rank and position in the CF represent an initial line of credit that junior officers and junior NCOs are given to get them started as leaders. Whether they become fully developed effective leaders depends on how wisely they use their authority, what they do to invest in and augment other capacities for influence, and how skillful they are in using appropriate influence behaviours.

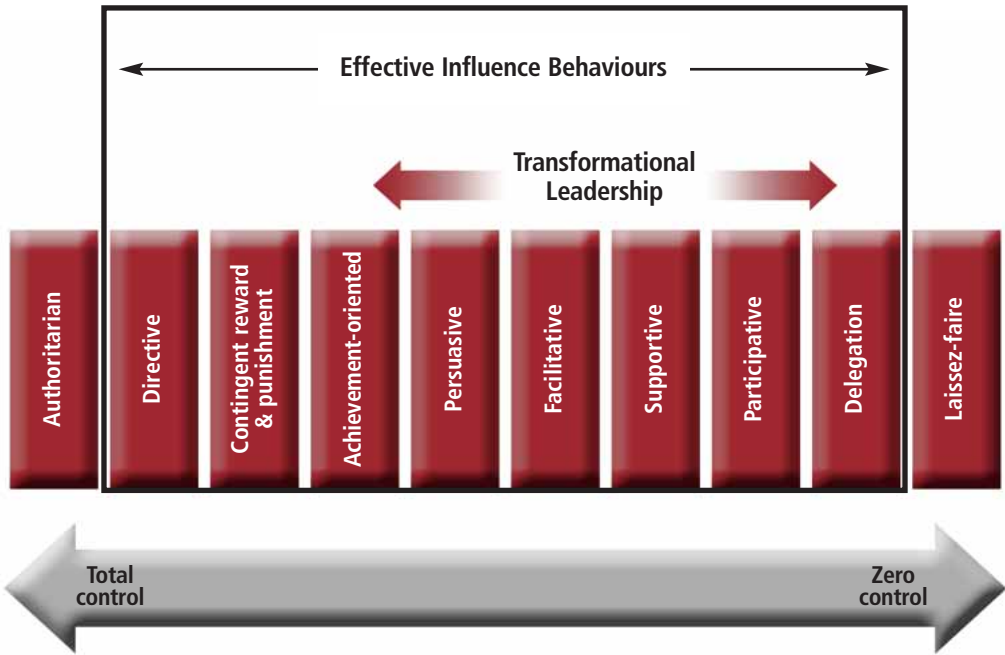
Figure 4 provides a reasonably comprehensive inventory of leader influence behaviours. These are roughly ordered by the amount of control employed by the leader, ranging from the total control that epitomizes authoritarian leadership to the complete absence of control that typifies *laissez-faire* leadership. The influence behaviours that define and are associated with transformational leadership largely overlap with the centre-right part of this spectrum.

### ***Effective Influence Behaviours.***

Effective influence behaviours and their uses may be described as follows:

- **Directive** influence involves telling subordinates what they are to do and, possibly, when, how, and to what standard. Direction is appropriate when conveying and implementing a superior commander's intent, when allocating and co-ordinating tasks, when subordinates

**Figure 4 | Spectrum of leader influence behaviours.**



lack information or experience and need guidance, to stiffen the resolve of individuals or a group when they are at risk of faltering in their efforts, and in emergencies and high-stress situations when subordinates may be temporarily disoriented or their thinking may be impaired. Unlike authoritarian leadership, directive influence is exercised in an ethical way that respects the dignity of subordinates.

- **Contingent reward and punishment** are intended either to reinforce observed desirable behaviour or discourage observed undesirable behaviour. Rewards and punishments may be tangible (e.g., time off, a fine) or social (e.g., recognition or praise, disapproval or reprimand). The contingent allocation of rewards and punishments is a very powerful technique for entraining or conditioning many kinds of behaviour, but does not guarantee maintenance

of the desired behaviour. Leaders must also be fair in meting out both rewards and punishments. Rewards must be proportional to merit, punishments must be consistent and appropriate to offences, and neither rewards nor punishments should be allocated randomly or arbitrarily.

- **Achievement-oriented** influence is primarily concerned with developing the competence and self-confidence of subordinates. This kind of enabling influence typically involves: setting difficult but achievable goals, expressing confidence in the ability of subordinates or others to achieve the goals, and providing verbal support and encouragement. Achievement-oriented influence is appropriate across a wide range of developmental and performance situations where either proficiency or confidence is in doubt.



- **Persuasive** behaviours are primarily intended to influence decision-making and task commitment by explaining to, or convincing, others why a certain course of action is necessary. Persuasion usually involves: rational arguments based on facts, reason, and logic; inspirational appeals which arouse emotions or make professional values salient; and apprising subordinates or others of potential side-benefits to them. Persuasive influence is appropriate to secure agreement or commitment and when particularly high or sustained levels of effort are required.
- **Facilitative** influence involves modeling, coaching, mentoring, and other types of leader behaviour that either demonstrate a desired behaviour for others or enable its performance by others, such as securing necessary task resources. Exemplary task dedication or risk-taking can also facilitate performance, but

only if the leader is respected or trusted; subordinates will not willingly follow the example of leaders they consider to be incompetent or reckless. Facilitative influence is generally appropriate for achieving performance standards, establishing behavioural norms, or satisfying the task-support needs of subordinates.

- **Supportive** influence reflects a concern for the general welfare of subordinates and is intended to assist them in resolving personal problems or to improve their morale and well-being. Supportive behaviours include: recognition of and responsiveness to individual needs; demonstrations of understanding and empathy; offers of help or collaboration; representing subordinate interests to administrative authorities; and efforts to improve working conditions and unit climate.

■ **Participative** behaviours involve the timely sharing of decision authority with others to improve the quality and/or acceptance of decisions. The two basic methods of obtaining advice, opinions, and recommendations are: individual or group consultations; and joint decision-making. The use of participative methods depends on the availability of sufficient time to involve others, but they are considered essential when subordinates or others possess critical information or expertise, and when the acceptance of a decision or plan by subordinates or others is key to successful implementation.

■ **Delegation** entails a transfer of specific authorities from the leader to one or more subordinates. Provided delegated tasks and authorities are meaningful, delegation usually has an enriching effect—enhancing the value of a role or assignment, autonomy, motivation, and satisfaction. Delegation is appropriate to relieve a leader’s task overload, to maintain tempo and enhance responsiveness, or to develop subordinates for higher rank or more challenging assignments. When authority is delegated, it is essential that the leader’s accountability be protected by obtaining routine reports from subordinates, monitoring performance indicators, or conducting personal check-ups and inspections.

### ***Transformational Leadership.***

Transformational leadership is a general pattern of influence that incorporates and combines several of the influence behaviours in Figure 4 (i.e., *idealized influence* matches up with facilitative behaviour, *intellectual stimulation* and *inspirational motivation* correspond to persuasive influence and achievement-oriented behaviour, and *individualized consideration* incorporates elements of both supportive and participative

behaviours). As commonly used, transformational leadership refers to a pattern of leader influence intended to alter the characteristics of individuals, organizations, or societies in a fairly dramatic or substantial way so that they are somehow more complete, or else are better equipped to deal with the challenges they face or are likely to face. In this general sense, transformational leadership reflects the ordinary dictionary meaning of the word *transform*—*make (especially considerable) change in the form, outward appearance, character, disposition, etc. of something.*

As used in the CF, transformational leadership is anchored in the values of the military ethos and a relationship of trust between the leader and led. It is characterized by the intent to bring about significant reform or radical change in individual, group, or system capabilities and outcomes. The leader behaviours that are most often associated with transformational leadership are neither new nor magical. But transformational leaders bring together a mix of insight, imagination, rational persuasion, values-based inspiration, and concern for followers in one package. Especially valuable in an environment of multiple challenges and where the trust and dedication of others are critical to success, transformational leadership is simply another name for superior leadership. Superior CF leaders, or transformational leaders, give followers valid reasons to be hopeful and committed.

Transformational leadership may be exercised by a talented individual with a compelling idea and the skill to communicate it to others, or by a cohesive Officer-NCM leadership team. At any level of CF functioning, from individual to institutional, the principal benefits of transformational leadership are increased follower trust, commitment, and effort, which often

translate into performance beyond leader expectations, as well as high levels of individual and group confidence and morale.

In accordance with institutional values, CF leaders ought to ensure that they exercise their influence in ways that are most likely to earn respect, trust, and commitment. This precept applies equally to interactions with subordinates, peers, superiors, and anyone else they seek to influence. Hence influence behaviours that reflect a disdain for others (authoritarian behaviour) or a lack of accountability (*laissez-faire* leadership) are not acceptable in the CF. The remaining influence behaviours shown in the spectrum of influence are considered effective when used in the appropriate circumstances, and the influence behaviours cited in the definition of effective CF leadership (“directing, motivating, and enabling others...”) can be considered as an abbreviated representation of this range of effective leadership behaviours. Additionally, influence behaviours associated with transformational leadership (exemplary personal commitment to duty, motivating and enabling others through ideas and ideals, individualized consideration of others) are highly congruent with CF institutional values, and ought to be cultivated in training and consistently reinforced in line units and staff organizations.

## **DIRECT AND INDIRECT INFLUENCE**

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Leadership is about influencing people to accomplish tasks. As depicted in Figure 3, it is also about shaping the task environment. Leaders influence people *directly*, or in a face-to-face way, by clarifying individual and group roles and tasks, developing individual and group skills, sharing risks and hardships, maintaining discipline and morale, and encouraging high levels of effort and persistence. Leaders influence people *indirectly*

by designing and creating the unit, institutional, and environmental conditions that enhance individual and collective performance, such as operational drills, tactics, advanced doctrine, organizational structure, equipment, culture and identity, and human resource programs and services that support members and ensure their fair treatment.

Direct and indirect influence processes apply to all levels of leadership—from every Junior NCO to the Chief of the Defence Staff. Both direct and indirect kinds of influence are critical to leader effectiveness, and the way they work can be expressed in two general principles:

- **Direct Influence Principle:** *To contribute to CF effectiveness directly, leaders develop and capitalize on people’s capabilities, and take appropriate action to correct or compensate for their deficiencies.*
- **Indirect Influence Principle:** *To contribute to CF effectiveness indirectly, leaders establish or modify task, group, system, institutional characteristics and environmental conditions that enable or enhance individual and collective performance, and attempt to neutralize or adapt to situational factors that constrain performance.*

## **INDIVIDUAL/GROUP CAPABILITIES, BEHAVIOUR, AND PERFORMANCE**

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The CF’s essential outcomes are principally achieved through the capabilities, behaviour, and performance of CF members working cooperatively with others and or as part of an integrated team. Consequently, at all levels of the CF, leaders must devote considerable effort to developing and harnessing the collective capacity of people who work for them and with them. In this respect, the kinds of things typically

influenced by leaders include ability, motivation, decisions, conduct, performance, perceptions, beliefs, attitudes, values, and such group characteristics as teamwork, group norms, unit climate, and cohesion. In many cases, leaders will attempt to achieve their intent through the efforts of subordinates, but they may also seek to influence the decisions and behaviour of peers, superiors, people outside their chain of command, or even people external to the CF. An often overlooked but critical function of leadership is the exercise of lateral and upward influence. Influence is not, however, a one-way street, and under a philosophy of distributed leadership, military leaders must also be receptive to the views and opinions of peers, subordinates, and others.

## **SITUATIONAL FACTORS**

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Apart from leaders and the people they are leading or attempting to lead, situational factors include all human and non-human elements that have the potential to affect leader behaviour, follower behaviour, or outcomes. As shown in Figure 3, a number of these factors both influence and are influenced by leader behaviour. Situational factors that are highly influential on leaders include the formal responsibilities they are assigned and the authorities they are given to discharge a role or perform a task. More generally, resources, organizational structures, procedures, and external relationships may constrain leader and follower behaviour to some degree. On the other hand, if task, group, system, institutional, or environmental conditions are positively altered in some way by a leader's initiative (e.g., changes in technology or administrative policies and services, improving civil-military co-operation in an operational theatre), they may facilitate

certain actions and enhance follower performance. Likewise, the extent to which the operating culture reflects the conduct values of the military ethos will have a generally positive or negative effect on both leader and follower conduct.

The characteristics of tasks, groups, systems, the CF, and even the physical and psychological environments are all, in principle, alterable to some degree. Some situational factors that often have a big effect on outcomes are not controllable—the weather, geography, the actions of an adversary—and the only options for leaders when dealing with such situational constraints are either to adapt to these conditions or to overcome them.

## **OUTCOMES**

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The whole purpose of leadership in the CF is to achieve essential outcomes. Essential outcomes for the CF fall into the four broad categories of mission success, internal integration, member well-being and commitment, and external adaptability. Although mission success will almost always take precedence over other considerations, failure to pay sufficient attention to other dimensions of effectiveness can seriously undermine overall performance and may have secondary adverse effects on the image and reputation of the CF or on public confidence and support. CF leaders have to understand that effectiveness means paying attention to all essential outcomes. At times, this may require leaders to make trade-offs, but part of the burden of leadership involves dealing with competing values and priorities and managing the risks inherent in making decisions.

## **CONCLUSION**

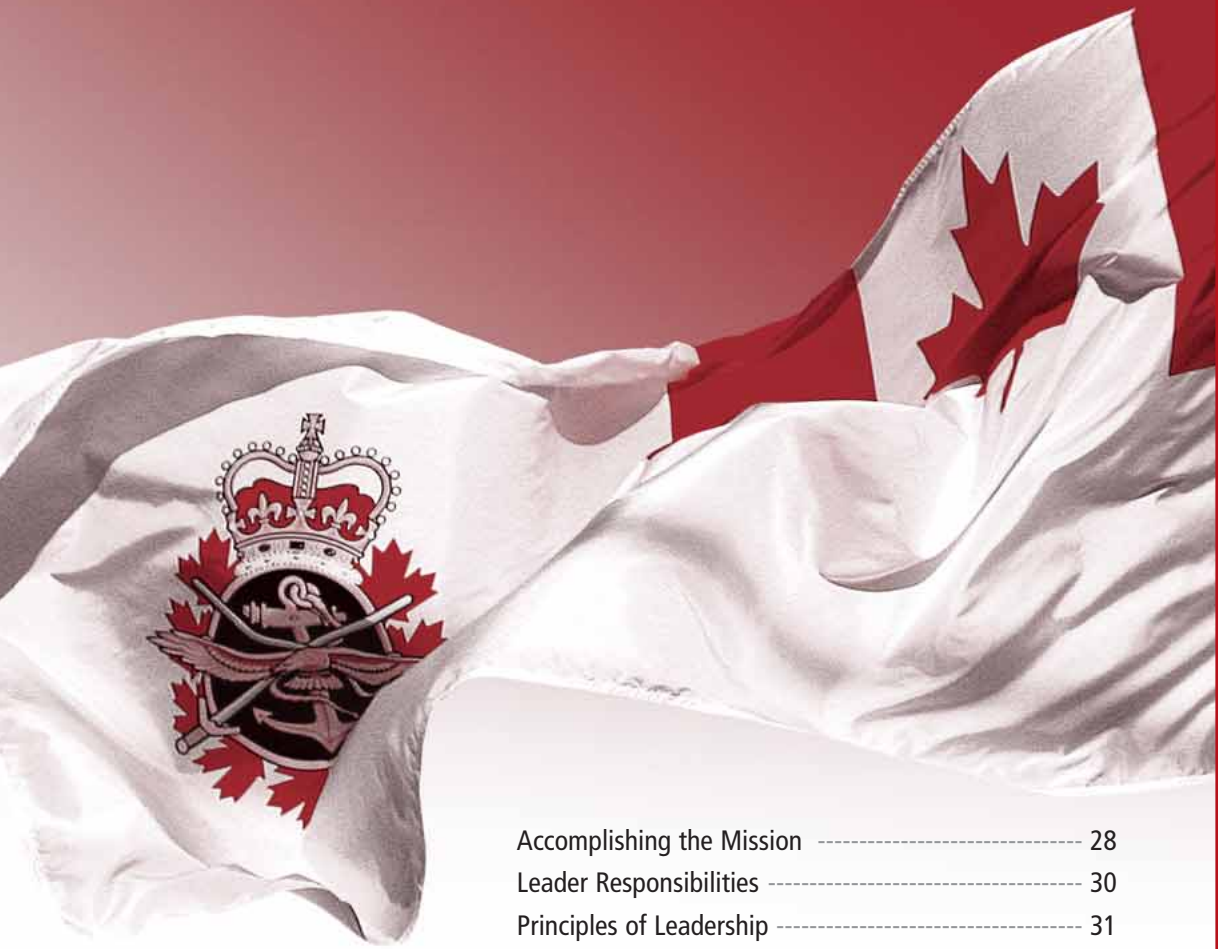
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The key determinants of CF effectiveness are its people and its systems. Leaders can influence both and must use all professional means at their disposal to effect the changes necessary to achieve essential outcomes. While leaders must be held accountable for results, as well as actions taken or not taken, no blame can be attached for failure if they act conscientiously and give

the mission or task their best effort. As history illustrates, outcomes can affect the perceived effectiveness of individual leaders, the leadership cadre, and the CF as a whole. Results also shape public perceptions of the CF's legitimacy. Success almost always has a positive effect on these secondary outcomes, but even a failed mission can bring credit to the CF and its leaders if carried out with intelligence, courage, and discipline.



# Leading People



Accomplishing the Mission ----- 28  
Leader Responsibilities ----- 30  
Principles of Leadership ----- 31

*“Military leadership is essentially about preparing for, and conducting, operations.”*

Vice-Admiral (ret'd) Lynn Mason

*“The prototype of military leadership, despite all the changes that have occurred through the ages, has always been fashioned on the basis of a model of heroism in the face of physical risk and hardship, suffering, pain, and death...”*

*Armies in the post-World War II era have increasingly been called upon to deal with a multiplicity of tasks and missions: various forms of low-intensity warfare involving guerrillas and insurgents organized in non-governmental movements; peacekeeping and policing; humanitarian aid and disaster relief; and various kinds of mediation. All of these missions, furthermore, are now often being carried out both within multinational frameworks... and under the watchful eye of the media and of various interested publics.... These trends present military leaders at all levels with new challenges and responsibilities requiring hitherto undeveloped skills and capabilities...”<sup>1</sup>*

Boas Shamir & Eyal Ben-Ari

**A**t the tactical and operational levels of command and activity, the primacy of operations means that the focus of leadership is on influencing people to accomplish missions and tasks. This is the ‘leading people’ function.

## **ACCOMPLISHING THE MISSION**

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What makes military leadership at tactical and operational levels especially difficult and challenging is the requirement for teams and units to function and perform like high reliability organizations. As a rule, high reliability organizations operate in complex environments, are subject to a variety of demands, and must often contend with extreme, variable, and unpredictable conditions. They use sophisticated technologies (e.g., surveillance, communications, weapons platforms, and weapons systems) and rely on large numbers of people with diverse skills to perform their functions. The primary distinguishing feature of such organizations, however, is that the consequences of error, even low-level error, can be catastrophic.

In military operations, which are intrinsically risky and dangerous, performance errors may, for example, lead to widespread loss of life or serious injuries, mission failure, loss of or damage to high-value materiel and equipment, environmental degradation, serious collateral damage to protected sites and civilian communities, death and injury of non-combatants, or negative political repercussions at the local, national, or international level. Experience shows that individual and group misconduct may also result in equally negative consequences. Hence military units, like other high reliability

organizations, must strive to achieve consistently high levels of proficient performance while keeping the risks of serious error in check. Generally speaking, the odds of achieving high reliability performance can be enhanced by careful planning and rigorous preparation, capitalizing on the pool of expertise available within the team or unit, maintaining high standards of professional conduct, constant monitoring of and adjustment to the operating environment, developing error-recovery capabilities, and learning from mistakes and near misses.

Thorough planning, realistic mission-focussed training, and other preparatory activities go a long way to ensuring proficient performance. Nevertheless, even the best plans and preparations have to be supplemented by capabilities to deal with unexpected events and emergency or traumatic situations. It is a truism of group behaviour that leadership matters most and is most severely tested:

- when plans go awry and mission failure threatens;
- when the unexpected happens and it is not clear what needs to be done (either tactically or ethically) to prevent mission failure or harm to others; and
- when casualties are taken or the group is in psychological shock and team members become disheartened or immobilized.

These kinds of situations, which require composure under pressure, adaptive problem solving, and decisive action, distinguish operational settings from non-operational environments (routine and predictability are more typical of the latter). They define what some have called “the leadership moment” or “leading at the edge,” that is, a turning point in an unfolding scenario

when success is on the line and the safety or lives of others may depend on the actions of appointed or emergent leaders. When danger is also involved and the leader is obliged to assume or share a high level of risk to catalyze or sustain group effort, we tend to classify this kind of leadership as heroic.

Such defining moments may occur rarely or never in a CF leader’s experience. But they are latent in every operational mission and task, and, if and when they do occur, the consequences of ineffective leadership can be disastrous. The best defence leaders can take against the likelihood of mission failure in crisis moments and other high-demand situations is to prepare themselves, their people, and their organizations. But they must also develop the resilience in their organizations to adapt to and handle the unexpected and the uncertain.

From the preceding requirements and considerations, we can identify five major ways in which tactical and operational leaders can improve the odds of accomplishing the mission effectively and professionally:

- developing the individual and team capabilities of followers (task proficiency, teamwork, confidence, cohesion, and distributed leadership) to ensure high reliability mission performance;
- building individual and collective resilience (stress-prevention measures, situational awareness, improvisational skills) to enable people to withstand the stresses of operations and recover from misfortune or adversity;
- instilling the military ethos (through socialization practices, establishment and reinforcement of appropriate group or unit norms) to ensure high standards of professionalism and self-discipline;

- altering or improving situational conditions (unit/organizational characteristics and procedures, external relations, relationships with superiors) to facilitate or enhance performance; and
- effectively executing tasks, monitoring and adaptively managing performance, and making a deliberate effort to improve future performance by reviewing such experiences and adopting any lessons learned.

## **LEADER RESPONSIBILITIES<sup>2</sup>**

At the tactical and operational levels of activity, leaders must engage in a great deal of face-to-face contact with subordinates, other leaders, and external contacts. Direct influence is critical to accomplishing missions and tasks. But leadership at these levels also requires substantial efforts to engineer the operating environment to advantage, and to improve conditions in the situation that affect mission performance and the chances of success.

Although the focus of tactical and operational leaders is on accomplishing the mission, CF leaders at all levels have responsibilities across all five dimensions of military and professional effectiveness: Mission Success, Internal Integration, Member Well-being and Commitment, External Adaptability, and the Military Ethos. The following paragraphs provide an overview of leader responsibilities in each of these areas.

### ***Mission Success.***

In relation to the mission success dimension of effectiveness, leaders spend much of their time preparing for, and conducting or supporting, operations, and more generally, implementing the policy direction of superiors. As an essential

prerequisite to assuming these responsibilities, tactical- and operational-level leaders must exemplify personal competence and commitment. The basic task-oriented duties of tactical and operational leaders are to clarify their goals and intent, make and execute plans, solve problems and make timely decisions, secure and manage task resources, direct and motivate others, train hard to improve individual and team performance, and supervise individual and group performance. In the mission-leader or commander role, the emphasis is on getting the job done in a professional manner.

### ***Internal Integration.***

With respect to the internal integration domain, the primary roles of the Officer-NCM leadership team are those of co-ordinator, team-builder, and monitor. In the co-ordinator role, leaders provide a common operating picture, establish routines to facilitate coherent action, and maintain good internal communications. As team-builders, the leadership cadre creates a sense of shared identity, and orchestrates training experiences that build teamwork and cohesion. In the monitor role, leaders continually assess the operating status of the unit or sub-unit, by generally ensuring compliance with policies and procedures, conducting evaluations and inspections, reviewing status reports, and holding subordinates accountable for their actions.

### ***Member Well-being and Commitment.***

The primary leader roles pertaining to the member well-being and commitment dimension of effectiveness are those of sustainer and developer. In the sustainer role, the Officer-NCM leadership team is responsible for establishing a healthy unit climate, treating people fairly, managing interpersonal conflict, responding to

complaints and concerns, representing the individual and collective interests of their people to administrative staffs and superiors, and generally monitoring and building morale and commitment to serve. In the developer role, leaders foster and recognize achievement, and protect depth and continuity in teams and units by cultivating potential replacement leaders. They mentor people in apprenticeship positions and challenging assignments, and encourage and support subordinate participation in training, educational, and professional activities over the career span.

### ***External Adaptability.***

To enhance the external adaptability of teams and units and their preparedness for potential demands and challenges, leaders at all levels must be learners and innovators. As learners, leaders seek to understand the context of missions and other assignments, they maintain situational awareness, and they draw on the knowledge of more experienced unit or staff members to prepare their teams and units for both known scenarios and unpredictable contingencies. They are skilled in exercising influence in joint, inter-agency, and multi-national environments. Following exercises, operations, projects, and other activities, they conduct lessons-learned reviews to improve operating procedures and practices. As innovators, leaders support the DND/CF philosophy of continuous improvement, and are open to experimenting with procedures and structures to strengthen team and unit capabilities. Consistent with this philosophy, they foster initiative, innovation, and experiential learning in their subordinates.

### ***Military Ethos.***

With respect to the military ethos, the Officer-NCM leadership team has a joint responsibility for continuing and extending the professional socialization of new members that begins in entry training. Individually and collectively, they must, at a minimum, maintain military standards of good order and discipline. Over and above that, they have to create the conditions that will foster acceptance and internalization of the ethos. In part, this means they have to be good teachers of unit and CF history and heritage. They must also establish a climate of respect for all members of the profession. More fundamentally, it means that they have to accept the responsibilities of military professionalism and set a positive example of professionalism in their day-to-day behaviour.

## **PRINCIPLES OF LEADERSHIP**

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Many military forces, including the CF, have relied on a short list of principles as a way of summarizing the key responsibilities of small-unit leadership and communicating them to leaders in training and apprentice leaders. These “principles of leadership,” as they are called, remain valid as basic statements of a junior leader’s responsibilities. But with greater experience, responsibility, and authority, CF leaders have to acquire a more extensive understanding of their duties and responsibilities if they are to deal effectively with the many demands of a complex world, a complex operating environment, and a correspondingly complex role.

*The following principles, updated to reflect lessons learned from experience, cover important aspects of the five major dimensions of effectiveness and are offered here as an introduction to the responsibilities of leadership:*

- **Achieve professional competence and pursue self-improvement**—Leader competence is critical to mission accomplishment and the preservation of lives. Very early on, junior leaders must master the technical and tactical skills of their military specialty, maintaining and improving proficiency through self-study, experiential learning, formal training, and education.
- **Clarify objectives and intent**—To provide subordinates with maximum freedom of action and the capability to operate independently if necessary, leaders must communicate a clear picture of the outcome or outcomes they wish to achieve.
- **Solve problems; make timely decisions**—The whole purpose of small-unit leadership is to accomplish missions and tasks. This means solving mission problems and making appropriate considered decisions. Some decision situations will allow for little or no analysis, but where time and circumstances allow, leaders should gather as much pertinent information as possible, involve others who possess relevant experience or have a stake in the decision, and consider the advantages and risks of each option before making a decision.
- **Direct; motivate by persuasion and example and by sharing risks and hardships**—Leadership is about exercising influence. Leaders have to know when to direct, when to motivate, and when to enable performance through the conspicuous sharing of risks and hardships.
- **Train individuals and teams under demanding and realistic conditions**—Being operationally ready means being able to deal effectively with normal and worst-case scenarios, handle the unexpected, and recover from setbacks. Demanding and realistic training provides these capabilities.
- **Build teamwork and cohesion**—Training and other formative activities that reinforce mutual dependence and support will pay off in enhanced performance and greater resistance to stress.
- **Keep subordinates informed; explain events and decisions**—The routine and prompt passage of information contributes to subordinates' situational awareness and their ability to respond appropriately to a changing situation. Candidly explaining events and decisions often reduces tensions created by uncertainty, and is critical to maintaining the trust relationship between leaders and led.
- **Mentor, educate, and develop subordinates**—Leaders must train and develop subordinates to master the unit's operational functions, provide strength in depth, and ensure a broadly distributed leadership capability.
- **Treat subordinates fairly; respond to their concerns; represent their interests**—Leaders have moral and practical obligations to know their subordinates' needs, take care of them, treat them fairly, and provide essential support for their families. Such actions help to establish and maintain trust, while also enhancing subordinates' service commitment.



- **Maintain situational awareness; seek information; keep current**—Leaders have to develop the habit of being on top of what is happening around them. Situational awareness is critical to anticipating future environmental conditions and identifying opportunities to secure a tactical advantage.
- **Learn from experience and those who have experience**—In both training and operations, leaders must constantly review performance with a critical eye and ask if there isn't a better way. Learning from personal experience and the experience of others is critical to ensuring high reliability performance and maintaining a competitive edge.
- **Exemplify and reinforce the military ethos; maintain order and discipline; uphold professional norms**—Disciplined, obedient, and law-abiding military forces are a mark of civilization. Leaders must ensure that their personal conduct and the conduct of their subordinates at all times reflect the best of Canadian military professionalism.

## LEADING PEOPLE

"In Holland on the night of 25th-26th February, 1945, the 1st Battalion, The Queen's Own Rifles of Canada launched an attack on the hamlet of Mooshof, to capture ground which was considered essential for the development of future operations.

Sergeant [Aubrey] Cosens' platoon, with two tanks in support, attacked enemy strong-points in three farm buildings, but were twice beaten back by fanatical enemy resistance then fiercely counter-attacked, during which time the platoon suffered heavy casualties and the platoon commander was killed. Sergeant Cosens at once assumed command of his platoon, whom he placed in a position to give him covering fire, while he himself ran across open ground under heavy mortar and shell fire to the one remaining tank, where, regardless of danger, he took up an exposed place in front of the turret and directed his fire.

After a further enemy counter-attack had been repulsed, Sergeant Cosens ordered the tank to attack the farm buildings, while the four survivors of his platoon followed in close support. After the tank had rammed the first building, he entered it alone, killing several of the defenders and taking the rest prisoners. Single-handed he then entered the second and third buildings, and personally killed or captured all the occupants ...

The outstanding gallantry, initiative and determined leadership of this brave N.C.O. ...resulted in the capture of a position which was vital to the success of future operations of the Brigade."

*Victoria Cross Citation*





# Leading the Institution



Creating the Conditions for Mission Success ----- 36  
Leader Responsibilities ----- 38

*"We can now arrive at a shorter definition of strategy as—'the art of distributing and applying military means to fulfil the ends of policy'."*<sup>1</sup>

B.H. Liddell Hart

*"In the process of visioning, leaders forecast the future pragmatically and realistically. They then develop the image of 'what ought to be' for the organization to position itself for success... Once a desired future or vision has been postulated, strategic leaders bridge to the future by means of a strategy and plans. They develop ends (objectives), ways (concepts), and means (resources) to achieve the vision... 'Strategy' is the crossover mechanism between the forecast future and the envisioned, desired future."*<sup>2</sup>

Roderick R. Magee II

*"Strong and effective leaders are at the heart of military professionalism. Such leaders ensure that the profession is constantly evolving to higher planes of effectiveness and performance. They set and maintain the necessary standards, and they set an example that inspires and encourages all members to reflect these standards in their day-to-day conduct. Leaders at every level contribute to professionalism through their influence on education, training and self-development, always seeking to make every aspect of military experience professionally instructive and rewarding... Above all, effective leaders exemplify the military ethos, and especially the core military values that are the essence of military professionalism."*

*Duty with Honour: The Profession of Arms in Canada*

**A**t the strategic level of command and activity, the imperatives of operational effectiveness mean that senior leaders and their staffs are uniquely responsible for sustaining and developing the systems and capabilities that the CF requires to meet its defence commitments, both now and into the future—that is, to deliver the requisite capability to meet Government's goals. This is the 'leading the institution' function.

## **CREATING THE CONDITIONS FOR MISSION SUCCESS**

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What makes the world of the senior leader especially challenging is that it is an extremely complex one—broader responsibilities, longer time horizons, more uncertainties to deal with, webs of interpersonal relationships to manage. Moreover, as a consequence of their broad responsibilities, senior leaders operate in a social environment consisting of numerous collaborative relationships, as well as competing interests and points of view, and requiring the application of 360-degree influence.

To senior leaders falls the responsibility of ensuring that the CF satisfies the requirements of the Government's national security policy and is ready for whatever an uncertain future may bring. The CF cannot be caught unprepared. Consequently, senior leaders have no choice but to be agents of change. To ensure continuing readiness, they must have an in-depth understanding of the environment in which they operate and how it might look five, ten, and twenty years from now. They must have an accurate and reliable appreciation of security threats. They must be

familiar with the nature and causes of the many social and military conflicts in which the CF may become involved. They must be knowledgeable about the workings of international alliances and keep abreast of advances in military technology. They must have a deep understanding of Canadian culture and values and maintain strong connections with society. And they must comprehend and work within, influencing where possible, Government's policies and priorities.

To satisfy the array of requirements presented by the post-Cold War world, the CF has adopted a capability-based approach as its strategic-planning tool of choice. In the ordinary dictionary sense of the word, *capability* refers to the *power or means to do something*. The notion of *requisite capability* addresses the question: 'What capabilities must be developed to ensure operational effectiveness and mission success, given, among other things, a long list of actual and potential military tasks, competing interests and priorities, a constrained resource envelope, and the unavailability of risk in making planning decisions?' Developing requisite capability is about creating the conditions for success across a broad range of known and unknown circumstances. The principal benefit of the capability-based approach is that it provides the best assurance of robustness across a variety of plausible futures. This aspect of leadership is also a striking illustration of indirect influence. In building bridges to the future, strategic leaders shape and influence performance enablers which they may never see during their tenure.

While a focus on strategic capability is expected of the officers who occupy the most senior appointments in the CF, it must be emphasized that the staffs who work for and support them must share their understanding and world view if they are to be fully effective. Consistent with the strategic direction and intent set by senior leaders, they too are engaged in leading the institution, and will occasionally find it necessary to

exercise downward, lateral, and upward influence along these lines. Institutional leadership is also distributed to some degree.

In addition to sustaining and developing functional capabilities, senior leaders have special responsibilities for maintaining professional capabilities. Senior leaders must not only epitomize professional qualities, but also assume, by virtue of their status, broad responsibilities to foster and maintain a culture based on military professionalism. This means that, in order to discharge the profession's responsibility to society, and consistent with the primacy of mission success, senior leaders must ensure adequate operational capability and the professional conduct of operations. Similarly, to maintain military expertise, as a consequential obligation of the military's responsibility to society and jurisdictional privilege, senior leaders must constantly extend the boundaries of professional knowledge. Senior leader support for history and heritage programs, as well as participation in commemorative events and ceremonies, are part of the necessary work of strengthening professional identity. And finally, to shape the culture, senior leaders have to ensure new members are appropriately and effectively socialized into the value systems of the CF ethos, confirm that legal and ethical regulatory systems operate as intended, and, more generally, align administrative policies and practices with the values of the ethos. In this fashion, the legitimacy of the CF and trust in the military as a national institution are preserved.

In sum, there are four general ways in which senior leaders shape requisite capability and create the conditions for operational and professional success:

- adapting systems and the CF to the external environment, through strategic planning and the initiation and implementation of strategic change;



- influencing the external environment, through direct advice and influence, public affairs activities, strategic partnerships, and professional networking;
- achieving alignment across organizational systems and sub-systems, through the relentless communication of strategic intent, the formalization of policy and doctrine, control of activities and resources, and active performance management; and
- exercising stewardship of the profession, through the strengthening of professional capabilities and culture.

### **LEADER RESPONSIBILITIES<sup>3</sup>**

At the strategic level of command and staff activity, influence on organizational performance is largely indirect. Strategic leaders uniquely contribute to CF effectiveness through the internal integration and management of organizational systems, and by positioning the CF favourably in relation to its environment.

While senior CF leaders are responsible for developing and maintaining the capabilities that will enable success at tactical and operational levels of command, they too are guided by the same value structure as tactical and operational leaders. Senior leaders have institutional responsibilities across all five dimensions of military and professional effectiveness.

#### ***Mission Success.***

To support the objective of mission success, senior leaders must perform the roles of visionary, entrepreneurial developer, and political advisor. In the visionary role, the senior leadership team must anticipate the future, both realistically and imaginatively, and establish a comprehensive strategic direction for the CF over the long term. As developers, senior leaders must set achievable goals, match resource allocations to goals and priorities, and build the operational capabilities necessary to fulfill today's and tomorrow's defence tasks, including the development of the next-generation leadership cadre. In the advisor role, senior leaders must be capable of securing

the trust and confidence of the top levels of military and civilian leadership, and must be able to provide, taking into account requirements and capabilities, judicious professional counsel concerning the deployment and use of military assets.

### ***Internal Integration.***

In support of internal-integration objectives, senior leaders communicate their strategic intent and provide authoritative guidance through a body of coherent policy and advanced doctrine. They also play the roles of spokesperson and system manager. As a spokesperson for the institution, the senior leader creates a common picture of reality through the effective use of symbols and media, performs ceremonial functions, and represents the CF to the public. As a system manager, the leader must ensure that various enabling systems of the CF (materiel, personnel, financial) function as a co-ordinated and integrated whole, while ensuring that the effectiveness and efficiency of all systems are periodically evaluated to determine their utility and efficiency.

### ***Member Well-being and Commitment.***

At the institutional level of leadership, effectiveness in assuring member well-being and commitment obliges senior leaders to assume the role of personnel champion. In this capacity, senior leaders must thoroughly understand *social contract* principles, must be pro-active in providing satisfactory conditions of service, and they must ensure that fair mechanisms exist to respond to members' concerns about their treatment. They must manage the personal expectations of members while fostering their commitment to serve through appropriate reward and recognition practices. Similarly, senior leaders must also try to balance the obligations of military service with the ability to accommodate basic individual needs.

### ***External Adaptability.***

Ensuring the external adaptability of the CF is a crucial strategic-leadership responsibility, requiring senior leaders to take on the roles of broker and change-leader. In the broker role, the senior leader must develop and manage external relationships with the Government, other government departments (especially DND) and central agencies, other militaries, and private and public organizations. To position the CF favourably in terms of influence and collaborative arrangements, senior leaders must have a thorough understanding of Canadian society and its institutions and must be able to explain the CF to the Government, central agencies, external organizations, and the Canadian people. Both formal linkages and personal networks are equally important to this role. As a change agent, the senior leader develops and uses capabilities in mid- to long-range environmental scanning and analysis, thereby acquiring advance understanding of the forces of change and the ability to develop competitive advantages through transformational initiatives.

### ***Military Ethos.***

Within their broad responsibilities for stewardship of the profession, senior leaders have an obligation to promote policies and programs that sustain the health of the profession, especially in the areas of professional development, human resource policies and programs, history and heritage, and military justice and discipline. With particular reference to the military ethos dimension of effectiveness, this entails a combination of personal example, systematic instruction, and institutional reinforcement, namely: serving as a role-model of professional conduct that is above reproach; establishing broadly based programs of education and training in law, ethics, and military history; and aligning the CF's culture in use (its decisions and practices) with the values and ideals of the military ethos.

## LEADING THE INSTITUTION

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"Vice-Admiral **Harold Taylor Wood Grant**, CBE, DSO, CD, took command of the Royal Canadian Navy (RCN) as the fifth Chief of the Naval Staff (CNS) on 1 September 1947 when it was at its lowest ebb of the post-war period.

Grant faced the daunting task of rebuilding the peacetime Canadian Navy into an effective force with recruits from a society and for a nation that had both been transformed substantially by the Second World War. During his four year tenure, he would adopt Anti-Submarine Warfare (ASW) as the Navy's primary role and inaugurate the construction of a new fleet of Canadian designed destroyer escorts. These decisions set the course for a rapid expansion of the Navy to meet the challenges of the Cold War and large commitments to the North Atlantic Treaty Organization (NATO). Grant also had to overcome severe personnel problems and reorient the administrative and cultural structure of the Navy to meet the demand for change...

He readily embraced the new commitments to NATO and the ASW role for the RCN. He was particularly vigorous in his efforts to improve professional opportunities, conditions of service, and welfare for the sailors and their families... Grant made the difficult transition to an American orientation during his tenure as CNS... This was particularly evident in Grant's decisions to sustain naval aviation, to introduce USN standards of habitability in ships, and to adopt USN tactical doctrine and communications procedures."

*Captain (N) Wilfred G. Lund*  
*In Warrior Chiefs:*  
*Perspectives on Senior*  
*Canadian Military Leaders*





# A Final Word

**A**ppointment to a position of superior rank and authority in the CF brings many responsibilities, including the expectation that the Officers, Warrant Officers, and NCOs entrusted with such authority will use it well, do their duty in accordance with the CF ethos, and prove to be good leaders.

A significant part of being a good leader means acting in the interests of collective effectiveness and discharging the particular responsibilities of leadership—including the professional development of the next generation of leaders. But, at all rank levels, leaders in the CF are also expected to act like leaders—that is, to be ahead of issues and problems, to be dynamic, to actively apply their intelligence, imagination, and judgment, and to challenge the status quo with fresh ideas and disciplined independence. Leaders are expected

to take calculated risks. In this respect, a leader's freedom of action is limited only by his or her imagination and resolve. Thus, in addition to carrying out assigned responsibilities capably and efficiently, effective CF leaders also use their intelligence, imagination, and initiative and do *what they decide* needs to be done to make their team, their unit, or the CF stronger and more effective. This is the broader meaning of duty as it applies to leaders in the CF.

# Endnotes

## CHAPTER 1: ABOUT LEADERSHIP

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- <sup>1</sup> Edwin P. Hollander. "Leadership and Power." In Gardner Lindzey & Elliot Aronson (eds.) *Handbook of Social Psychology: Volume II* 3<sup>rd</sup> ed. (New York: Random House), 1985.
- <sup>2</sup> Gary Yukl. *Leadership in Organizations* 5<sup>th</sup> ed. (Upper Saddle River, NJ: Prentice-Hall), 2002.
- <sup>3</sup> Lieutenant General Walter F. Ulmer Jr., U.S. Army (ret'd). "Military Leadership into the 21<sup>st</sup> Century." In Robert L. Taylor & William E. Rosenbach (eds.), *Military Leadership: In Pursuit of Excellence* 4<sup>th</sup> ed. (Boulder, CO: Westview Press), 2000.

## CHAPTER 2: THE CF PHILOSOPHY OF LEADERSHIP

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- <sup>1</sup> Gifford Pinchot. "Creating Organizations with Many Leaders." In Frances Hesselbein, Marshall Goldsmith, & Richard Beckhard (eds.) *The Leader of the Future: New Visions, Strategies, and Practices for the Next Era*. (San Francisco: Jossey-Bass), 1996.
- <sup>2</sup> Martin L. Cook. "Army Professionalism: Service to What Ends?" In Lloyd J. Matthews (ed.) *The Future of the Army Profession*. (Boston: McGraw-Hill), 2002.
- <sup>3</sup> *Duty with Honour: The Profession of Arms in Canada*. (Kingston, ON: CF Leadership Institute), 2003.
- <sup>4</sup> Michael Ignatieff. *Virtual War: Kosovo and Beyond*. (New York: Henry Holt and Company), 2000.

## CHAPTER 3: CF LEADERSHIP MODEL

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- <sup>1</sup> Gary Yukl. *Leadership in Organizations* 2<sup>nd</sup> ed. (Upper Saddle River, NJ: Prentice-Hall), 1989.

- <sup>2</sup> Arthur S. Reber. *The Penguin Dictionary of Psychology*. (Markham, ON: Penguin Books Canada), 1985.

- <sup>3</sup> The model presented in this chapter is based on Gary Yukl's Multiple-Linkage Model of leader performance and effectiveness, which synthesizes and integrates the material presented in his *Leadership in Organizations* 5<sup>th</sup> ed. (Upper Saddle River, NJ: Prentice-Hall), 2002.

## CHAPTER 4: LEADING PEOPLE

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- <sup>1</sup> Boas Shamir & Eyal Ben-Ari. "Leadership in an Open Army?" In James G. Hunt, George E. Dodge & Leonard Wong (eds.) *Out-of-the-Box Leadership: Transforming the Twenty-first Century Army and Other Top-Performing Organizations*. (Stamford, CT: JAI Press), 1999.

- <sup>2</sup> For a detailed listing of leaders' general responsibilities at the tactical and operational levels of command and activity, see the left-hand column of Table 4-1 in *Leadership in the Canadian Forces: Conceptual Foundations*.

## CHAPTER 5: LEADING THE INSTITUTION

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- <sup>1</sup> Sir Basil H. Liddell Hart. *Strategy* 2<sup>nd</sup> ed. (New York: Frederick A. Praeger), 1967.

- <sup>2</sup> Roderick R. Magee II (ed.). *Strategic Leadership Primer*. (Carlisle Barracks, PA: Department of Command, Leadership, and Management, U.S. Army War College), 1998.

- <sup>3</sup> For a detailed listing of leaders' general responsibilities at the strategic level of command and activity, see the right-hand column of Table 4-1 in *Leadership in the Canadian Forces: Conceptual Foundations*.



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