



National
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Leadership in the Canadian Forces

LEADING PEOPLE



Canada

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Table of Contents

Foreword	iii
Preface	iv
Chapter 1. Introduction: Achieving Essential Military Outcomes	1
Chapter 2. Being an Ethical Leader	13
Chapter 3. Mission Success Through Leading Others	25
Chapter 4. Being an Effective Leader	39
Chapter 5. Looking After Your People	55
Chapter 6. Building Effective Teams	67
Chapter 7. Adapting to External Change	79

Foreword

Military leadership consists of both theory and doctrine. In 2005, I promulgated *Leadership in the Canadian Forces: Doctrine* and *Leadership in the Canadian Forces: Conceptual Foundations*. These manuals provide an excellent doctrinal and theoretical foundation upon which to build guidance for applied leadership. *Leading People* has drawn upon these earlier manuals to provide a comprehensive account of how to lead our soldiers, sailors and air personnel in both peace and conflict situations.

The transformation of the Canadian Forces (CF) into a force that is more relevant, responsive and effective in today's complex and often dangerous battlespace requires outstanding leaders at all ranks and all levels — tactical, operational and strategic. Leaders with an operational focus. Leaders capable of executing, and empowered to execute, a mission command philosophy. And they must always do this in accordance with the “values-based” philosophy at the centre of all CF leadership doctrine.

Leading People will greatly assist in achieving this goal. As with all sound doctrine, it is not merely a set of checklists and general principles. It provides in-depth guidance upon which CF military professionals can build and shape their leader skills and techniques to direct, enable

and motivate their followers in the successful achievement of the very wide range of tasks assigned. From day-to-day duty on our bases to domestic operations and humanitarian aid to combat, *Leading People* provides the necessary tools to achieve mission success while caring for our people before, during and after operations.

This manual will be used extensively in all professional development centres across the CF. More importantly, however, I expect all leaders to study and apply the concepts, approaches and techniques contained in *Leading People*.

General Rick Hillier
Chief of the Defence Staff

Preface

Leadership in the Canadian Forces: Leading People is intended to provide Canadian Forces military professionals with the practical guidance, based on sound theory, to effectively lead people, their followers. Canadian Forces leaders at all levels are responsible for achieving the defence mission as defined by the Government of Canada. They are, therefore, responsible for attaining and sustaining the necessary level of CF effectiveness. Canadian Forces effectiveness, in turn, is defined in *Leadership in the Canadian Forces: Doctrine* in terms of four outcomes: the primary outcome of Mission Success, and the three enabling outcomes of Member Well-Being and Commitment, Internal Integration, and External Adaptability. All four outcomes are bonded together by virtue of the Canadian Military Ethos, which shapes the conduct of leaders as they pursue those outcomes.

Canadian Forces effectiveness outcomes are achieved at two interrelated levels. First, at the level of the institution, leaders develop institution-wide policies and practices related to each outcome at the system level. The result is a “system of systems” that generates institutional effectiveness. Second, at the level of individuals, CF leaders direct, enable and motivate their followers to achieve tasks, care for people, build cohesive teams and adapt to change. Applied institutional leadership is addressed in the companion volume to this manual. Leading people is addressed here.

Chapter 1 explains the relationship between the CF Effectiveness Model and the concept of applied leadership of people. It goes on to introduce two fundamental components of CF leadership philosophy: Distributive Leadership and Followership.

Chapter 2 describes the role of the Canadian Military Ethos in leading people. It explains how this ethos is the grounding for the CF’s values-based leadership philosophy. The chapter then provides practical guidance, for CF military professionals engaged in leading people, on how to go about aligning the real-world culture of the CF with the values and norms contained in the military ethos. Finally, the chapter discusses ethical decision-making and provides guidance to help resolve the ethical dilemmas that inevitably arise as leaders seek to achieve CF effectiveness outcomes.

Chapters 3 and 4 address the Mission Success outcome. In Chapter 3, the relationship among command, management and leadership is explained. The concepts of power and influence, upon which these functions are based, are described. The eight influence behaviours

contained in the doctrinal Spectrum of Influence Behaviours are defined, and their linkage with the concepts of transactional and transformational leadership styles is discussed. The chapter is summarized by a list of the ten critical requirements of an effective leader. Chapter 4 is organized around the Task Cycle Model and provides practical advice on how leaders can utilize this model to analyze, plan, lead and monitor as they tackle any task. Twelve tenets for effective leadership are also provided. The chapter concludes with a discussion of the concept of situational leadership.

Chapter 5 deals with Member Well-Being and Commitment, that is, looking after your people. It talks about caring for followers on the physical, intellectual and emotional planes. Practical guidelines are provided for dealing with difficult subordinates as well as for resolving interpersonal conflicts, treating followers fairly and rewarding success.

Chapter 6 relates to Internal Integration, or building effective teams. The ideas and importance of trust, morale and cohesion are discussed, and fifteen guidelines for building teamwork and cohesion are provided. Finally this chapter expands upon the concept of “followership” and explains how both effective leaders and effective followers are needed to form the synergistic teams required for mission success.

Chapter 7 concludes the manual with a discussion of External Adaptability. Practical advice on how to adapt to change as well as guidelines for effective learning are provided. This chapter indicates how effective leaders shape a truly integrated Canadian Forces culture as well as forge larger teams with non-CF personnel, including public servants, other nationalities and non-governmental organizations.



Achieving Essential Military Outcomes

1

The Challenge of Leadership	2
Aim	2
Scope	2
Evolving Leadership Requirements	3
The CF Effectiveness Framework	3
The Definition of Effective CF Leadership	6
Distributive Leadership	8
Followership	9
Coping with Fear	9
The Principles of Leadership	10
Summary	12

CHAPTER

The Challenge of Leadership

In the Canadian Forces, leadership takes place on a day-to-day basis in ships' engineering spaces, on hangar floors, in troop and platoon rooms, and in orderly rooms across the country and overseas; in training scenarios; in professional development centres; and in the full range of operations. Effective leaders are necessary in all these environments to keep the system working at high capacity and to constantly look after the well-being of all members of the CF (on and off duty), but most especially to meet the CF's obligation to the Government and the citizens of Canada. Outstanding leadership is expected at all times; however, its application on base is qualitatively different from its application in an operational setting. The challenges are real and often difficult, but the existing culture, structure, skill of officers and non-commissioned members (NCMs), and professionalism combine to ensure success.

AIM

This manual will provide Canadian Forces professionals with the necessary practical guidance to be effective leaders.

SCOPE

Leading People is intended to be straightforward and applied. The guidance presented here is based on sound theory, effective concepts, and many years of experience in the CF by leaders and followers of all ranks. The description and explanation of these elements, which have resulted in the CF philosophy of leadership, have been minimized here to improve readability and allow the leader to get quickly to the practical heart of the matter. The background theory can be found in *Leadership in the Canadian Forces: Doctrine* and *Leadership in the Canadian Forces:*

Conceptual Foundations. Furthermore, leadership is discussed within the context of the General System of War and Conflict, which comprises policy, strategy, operational art, and tactics. Leading people is accomplished primarily at the tactical level, mostly in a direct manner, face to face and (when on operations) in conditions of uncertainty and danger. Of course, leading people also occurs at operational and strategic levels in staffs and organizations, large and small; however, the focus at those levels is on institutional leadership, a domain covered in *Leadership in the Canadian Forces: Leading the Institution*. The doctrine espoused in this manual, *Leading People*, applies to all CF officers and non-commissioned members (NCMs) occupying leadership appointments or exercising a situationally determined leader function (for example, emergent leadership).

EVOLVING LEADERSHIP REQUIREMENTS

A very generic concept of leadership is that of 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 idea is 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. Leader



effectiveness in the Canadian Forces, however, must be defined in relation to Canadian Forces effectiveness. It must also include a reference to the values embedded in the Canadian military ethos; that is, CF leadership must be values-based. This is particularly important in a security environment characterized by complexity, ambiguity, volatility, uncertainty and danger.

THE CF EFFECTIVENESS FRAMEWORK

As illustrated in Figure 1.1, collective effectiveness in the CF is uniquely defined in terms of five major outcomes:

- Mission Success;
- Internal Integration;
- Member Well-Being and Commitment;
- External Adaptability; and
- Military Ethos.

The definition and doctrine for leading people effectively in the CF is therefore derived from this model.

Figure 1.1 Canadian Forces Effectiveness Model: Essential Outcomes & Conduct Values



Leading people successfully involves achieving these outcomes in a co-ordinated or simultaneous way. The conduct of CF leaders, as embodied in the military ethos, is shown at the centre of the effectiveness framework because it influences all activities intended to achieve the other outcomes. It guides and sets limits on behaviour. It is the glue that holds everything together. It represents a leader's responsibility to set the example and to infuse subordinates with CF values.

The outcomes and their relationship to effective leadership are the subjects of the succeeding chapters of this manual. They will only be described briefly at this point.

Mission Success

In every military operation, the dominant imperative is the accomplishment of 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 planning and action and the unlimited liability that members assume through military service are direct consequences of the overriding importance placed on mission success. Leaders bring this same approach to bear on all day-to-day tasks whether they be on base, in training or in the field.



Internal Integration

Internal integration means teamwork and cohesion. The parts must work together. Internal integration also refers to the co-ordinated functioning of multiple teams, units and formations. Co-ordination is achieved by establishing stable structures and routines; ensuring that teams function efficiently; and making good use of information and communications to promote a common picture of reality so that the entire team clearly understands the leader's intention. Cohesion implies bonding among members as a result of shared commitment and valuing each other's contribution. Cohesion and teamwork are force multipliers, making a collective effort that is greater than the mere sum of its parts. Effective CF leaders, at all levels, build effective teams that think and act in terms of the higher organization. It is important to understand that followers at all levels are critical to creating effective teams and an effective Canadian Forces. After all, every leader is also a follower at some level.

External Adaptability

External adaptability refers to a capacity to fit into the larger operating environment, an ability to anticipate shifting circumstances, and a willingness to adapt to change. Success in adaptation requires that the CF leader understands and embraces the need for flexibility, creativity, diversity and innovation. It means that a leader must be willing to work alongside other teams and organizations rather than in isolation in pursuit of the mission. This external engagement is achieved in communicating with others through liaison and exchange of information. Even at the most junior levels, CF leaders have to interact with a wide

variety of non-military personnel and organizations such as other government departments, non-governmental organizations, international agencies, the media, and the public at large. Similarly, leaders must also adapt to changes in the external environment, whether they be transformations in society, technology, the geo-political situation or the operating environment.

Member Well-Being and Commitment

Member well-being and commitment means taking care of people. This outcome is critical to mission success, in the first instance, and contributes significantly to internal integration and external adaptability. It signifies a concern for followers, the quality of their life and conditions of service, and the provision of all necessary means of force protection on operations. Commitment is both up and down, as in the member's commitment to the CF and the CF's commitment to its members. The Canadian Forces is its people. Demonstrating care and consideration is both a practical obligation and a moral obligation for effective CF leaders.

Military Ethos

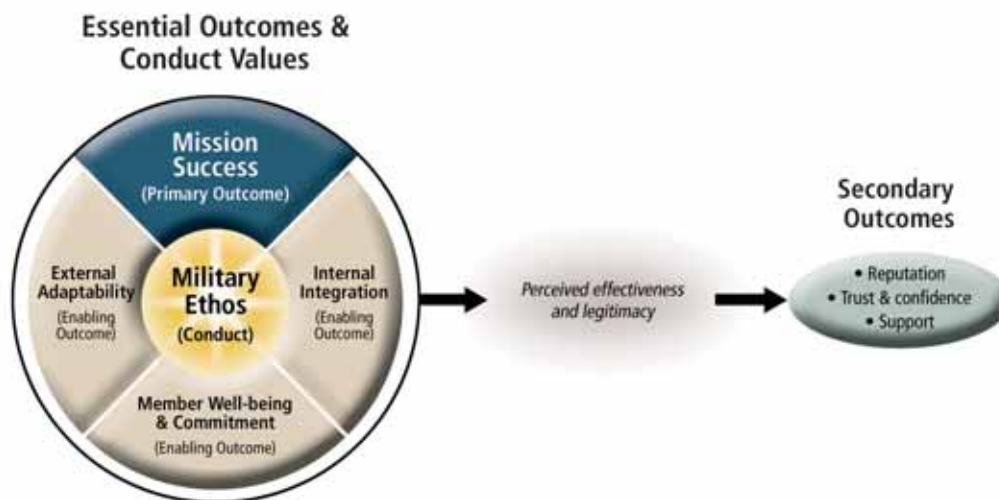
The CF military ethos is central to the CF concepts of both military leadership and the profession of arms. It encompasses values that define and describe professional conduct. This normative dimension of CF effectiveness includes the civic values of liberal democracy; the values embodied in the rule of law; the ethical values governing our treatment of others and the conduct of operations; and the core military values of duty, loyalty, integrity and courage. The military ethos is the essence of the warrior's honour.

THE DEFINITION OF EFFECTIVE CF LEADERSHIP

Effective leadership in the Canadian Forces is defined in *Leadership in the Canadian Forces: Doctrine*, on page 5, as “**directing, motivating and enabling others to accomplish the mission professionally and ethically, while developing or improving capabilities that contribute to mission success.**” This definition is anchored on the achievement of the primary outcome for Canadian military professionals — mission success. It is values-based in that achieving the mission must be done professionally and ethically, that is, in accordance with the military ethos. Effective CF leaders are also constantly developing and improving capabilities that contribute to mission success.

Different circumstances and situations, however, require different leadership approaches. For instance, leadership styles used on base differ from those used in times of crisis or danger. In addition, training and discipline, which are core to military development, may require a more directive and transactional style. Nonetheless, the application of transformational leadership offers the leader the ability to motivate and inspire followers to a much greater extent and, therefore, should be the approach of choice. That is to say, the leader does not neglect the three secondary outcomes of member well-being and commitment, internal integration (building effective teams), and external adaptability (adapting to external demands). All of these CF effectiveness outcomes must be brought together by leaders into a coherent whole if the

Figure 1.2 Canadian Forces Effectiveness Model: Secondary Outcomes





leaders are to meet their responsibilities fully. Each of these outcomes is discussed in detail throughout this manual.

In achieving the effectiveness outcomes while leading people, CF leaders contribute to a number of secondary outcomes of central importance to the institution of the CF (see Figure 1.2). The Canadian Forces is perceived as being effective when it is:

- accomplishing missions important to, and endorsed by, Canadians at large;
- engaging fellow citizens in any number of activities, and adapting to external change;

- demonstrating genuine concern for all members of the Canadian Forces;
- building effective CF teams that think and act in terms of the success of the larger organization; and
- achieving this in accordance with values that resonate with Canadians.

These actions earn the CF a reputation for legitimacy and effectiveness in the eyes of the public. The public will therefore readily accord the CF and its leaders trust, confidence and support.

A word of caution is in order concerning the achievement of these effectiveness outcomes. Leaders must appreciate that the outcomes will be, to some degree, in conflict. This conflict constitutes a major leadership challenge. The most obvious example is the conflict between mission success and member well-being (force protection) on many operations where combat is involved or where other high-risk situations prevail. There are many other, perhaps less obvious, examples. An example is the creation of a sense of uniqueness, difference or elite status for the team or unit, designed to increase internal integration. Cohesion, taken too far, can create tension with external members of the larger team, thereby reducing co-operation and overall teamwork. Another example of potential tension lies between the need for stability and control to maintain a strong, cohesive team (internal integration) and the need for flexibility and innovation to be responsive to a range of external stakeholders (external adaptability). This is not to suggest that these dilemmas, actual or potential, are completely intractable; rather, what this reality highlights is the need for keen professional judgment on the part of leaders to recognize the existing conflict



and mitigate it to the extent possible, but nonetheless take the necessary decisions and actions to move forward.

DISTRIBUTIVE LEADERSHIP

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 depends more on developing in breadth and depth a strong officer-NCM leadership team with a shared sense of responsibility, professional identity, values and purpose, and mutually supporting expertise.

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

- The essential functions of leadership should be shared to varying degrees with peer and subordinate leaders. This sharing is situationally dependent on circumstances and actual subordinates.
- The leadership potential of officers and all non-commissioned members, down to the lowest level of formal authority, should be fully developed and exploited.
- The leadership potential of all CF members should be given an opportunity for development and expression.

Distributed leadership does not and cannot diminish the responsibilities or prerogatives of command. Command is a formal and legal function with a set of fundamental accountabilities to superiors, the government and ultimately the Canadian public and the rule of law. This distinction between command and leadership is discussed in Chapter 3. However, effective commanders are inevitably good leaders, and as such they understand the value of distributed leadership and seek, through it, to exploit the talents and potential of all subordinates throughout the organization.

FOLLOWERSHIP

Every leader in the CF, regardless of rank or appointment — the newest junior non-commissioned officer or officer, up to and including the Chief of the Defence Staff — is also a follower. No one can be an effective leader

in the CF without first and always being an effective follower. *Effective followership* is a new label for a well-established and widely accepted concept that has also been known and accepted by effective leaders throughout the history of the CF. Understanding effective followership is critical to effective leadership.

Effective followership is defined as “fully committed service to the achievement of mission success by being receptive, implementing change, and helping to build a culture consistent with the CF military ethos, while being a valued and contributing member of a team.” Effective followership is contained in Figure 1.1 and is an integral component of the commitment of the member. Effective followers

- get the job done;
- are valued and essential members of their team;
- are committed to serve the CF;
- are receptive implementers of change; and
- are living the CF military ethos.

COPING WITH FEAR

Leading People is about leading in all work environments, but fundamentally it is about something much more profound; it is about leading people in integrated operations, that is, domestic operations, conflict situations, and combat. Today’s battlespace — the place where operations are conducted and where combat is an ever-present implicit threat — is complex, difficult and dangerous. Whether aboard ship, on patrol, or in hostile airspace, or supporting these activities in myriad ways, CF leaders must be prepared to lead in times of uncertainty, ambiguity, confusion, danger — and, above all,

fear — in any theatre of operations. Leaders must know how to overcome these obstacles, which are reinforced and complicated by fear. The essence of the issue is not whether a person experiences fear, but how fear is controlled and utilized to benefit the effectiveness of military personnel in times of danger, stress and crisis.

In the simplest of terms, fear is an emotion, a powerful emotion that can quickly debilitate individuals, teams and whole units. Fear can become contagious and frequently leads to panic. The leadership challenge is to first understand fear and then cope with it. Leaders themselves may be fearful, but they must deal with that fact and lead followers to mission success. In terms most relevant to military affairs, a number of conditions cause specific fears:

- Fear of being killed, wounded or captured;
- Fear of killing others;
- Fear of the unknown;
- Fear of personal failure; and
- Fear of letting down comrades.

Fear is aggravated by deprivation, noise and fatigue. The antidote for fear is often depicted as courage. This is valid if leaders understand that courage is not fearlessness; courage is being able to do the job even when one is afraid. And that job is *leading*. Training and education are central to dealing with fear, as are discipline and the development of self-discipline in leaders and followers alike. Inherent in the training are mental indoctrination and physical fitness, which moderate the impact of hopelessness, deprivation and fatigue. They also build self-confidence, improve resilience to stress, and enhance clear thinking despite physical exhaustion and mental fatigue.

This manual is not about the psychology of fear; it is about leading in all situations, including those of adversity and complexity. The material in *Leading People* will help develop the outstanding leaders required in the profession of arms, which includes all members of the CF. This is not all about combat, but combat and armed conflict in all their manifestations are the greatest challenges that leaders face intellectually, psychologically and emotionally on land, at sea and in the air. CF leaders must prepare for these challenges above all else.

THE PRINCIPLES OF LEADERSHIP

In CF leadership doctrine, the body of knowledge, the techniques, and the practice of effective leadership can be summarized by leadership principles. However, leaders must be careful not to reduce the art and science of leadership, a complex and sophisticated endeavour, to a mere checklist. Principles of leadership provide guidance and organize succinctly both the theory and the practice of effective leadership. In today's complex world, leaders have to understand what lies behind these principles — what gives them power and meaning. Leaders must be able to account for them fully to followers. In CF leadership doctrine there are twelve Principles of Leadership, all of which carry equal weight. Adherence to these principles in accordance with the best professional judgment results in leaders who, above all, lead by example:

- Achieve professional competence and pursue self-improvement;
- Clarify objectives and intent;
- Solve problems and make timely decisions;

- Direct; motivate by persuasion and example and by sharing risks and hardships (that is, lead by example);
- Train under demanding and realistic conditions;
- Build teamwork and cohesion;
- Keep subordinates informed;
- Mentor, educate and develop subordinates;
- Treat subordinates fairly;
- Maintain situational awareness, seek information and keep current;
- Learn from experience and those who have experience; and
- Exemplify and reinforce the military ethos; maintain order and discipline; and uphold professional norms (that is, lead by example).

The concepts embodied by these principles appear throughout the manual where they are most appropriate.

Summary

- CF Effectiveness Framework
 - Primary Outcome:*
 - Get the job done (Mission Success).
 - Enabling Outcomes:*
 - Look after your people (Member Well-Being and Commitment);
 - Think and act in terms of the larger team (Internal Integration);
 - Anticipate and adapt to change (External Adaptability); and
 - Exemplify professional values (Military Ethos).
- Effective CF Leadership: Directing, motivating and enabling others to accomplish the mission professionally and ethically, while developing or improving capabilities that contribute to mission success.
- Distributive Leadership: sharing the responsibilities of leadership vertically and horizontally within teams, units and formations and within the CF as a whole.
- Followership. Effective followers:
 - get the job done;
 - are valued and essential members of their team;
 - are committed to serve the Canadian Forces;
 - are receptive implementers of change; and
 - are living the CF military ethos.
- Leading People is about leading in integrated operations, that is, domestic operations, conflict situations and combat.
- A number of conditions cause specific fears:
 - Fear of being killed, wounded or captured;
 - Fear of killing others;
 - Fear of the unknown;
 - Fear of personal failure; and
 - Fear of letting down comrades.
- Principles of Leadership
 - Achieve professional competence and pursue self-improvement;
 - Clarify objectives and intent;
 - Solve problems and make timely decisions;
 - Direct; motivate by persuasion and example and by sharing risks and hardships (that is, lead by example);
 - Train under demanding and realistic conditions;
 - Build teamwork and cohesion;
 - Keep subordinates informed;
 - Mentor, educate and develop subordinates;
 - Treat subordinates fairly;
 - Maintain situational awareness, seek information and keep current;
 - Learn from experience and those who have experience; and
 - Exemplify and reinforce the military ethos; maintain order and discipline; and uphold professional norms (that is, lead by example).



Being an Ethical Leader

2

Ethos, Ethics and Culture	14
Values-Based Leadership	15
The Relationship Between the Defence Ethics Programme and the Military Ethos	16
The Canadian Military Ethos	18
Aligning Culture with Ethos	21
Ethical Decision-Making	22
Summary	24

CHAPTER

Ethos, Ethics and Culture

Dictionary definitions of the concept of ethos include “the characteristic spirit, prevalent tone or sentiment of a people or community” and “the genius of an institution or system.” Ethos is the essential character, identity and guiding motivational spirit of an institution, desired by its members in pursuit of institutional goals. Therefore, the ethos of a military force is a statement of the ideal culture of that force. It is what professional members strive to be both individually and collectively. The Canadian military ethos comprises values, beliefs and expectations that reflect core Canadian values, the imperatives of military professionalism and the requirements of operations. It acts as a centre of gravity for the military profession and establishes an ethical framework for the conduct of military operations.

Ethics is the systematic study of what is right or wrong, good or bad. It is a distinct field of philosophy. There are several “systems” of ethics in Western society, which differ primarily in their reasons for particular actions. For example, one system argues that there are categorical imperatives that determine ethical duty, and conduct must adhere to these imperatives under all circumstances. Another system argues that after judgment of the likely consequences of actions, a decision must be made based on the acceptable or desired consequences. Yet another system states that the ethical decision is the one that produces the best outcome for the largest number of people.

The concept of morality is closely linked to that of ethics, and refers to behaviour. It is more subjective and suggests a choice between not only systems of ethics but also the particular values

within those systems. In the Canadian Forces and, indeed, throughout the Department of National Defence an ethical system and a preferred type of conduct have been constructed that draw directly from Canadian society, service to Canada, and the unique demands of military operations. This system is embodied in the Canadian military ethos.

Culture has many definitions. For the purposes of this manual it is defined as “the integrated pattern of human behaviour that includes thought, speech, actions and significant artefacts, depending on the willingness and capacity for learning and for transmission to succeeding generations.” Military culture consists of patterns based on doctrine, history, heritage and tradition, technological preferences, unique function, and operational experience. Quite often, the different functional components of

the institution create divergent cultures that are at variance with each other (for example, the Navy's, Army's and Air Force's cultural differences in approach to leadership, work ethic, and teamwork), as compared to the idealized ethos that seeks to create a common CF culture. In addition, divergent cultures can also develop that promote careerism, a bureaucratic mentality, and a "nine-to-five" work ethic. The challenge for CF leaders is to align the existing culture with the idealized Canadian military ethos.

VALUES-BASED LEADERSHIP

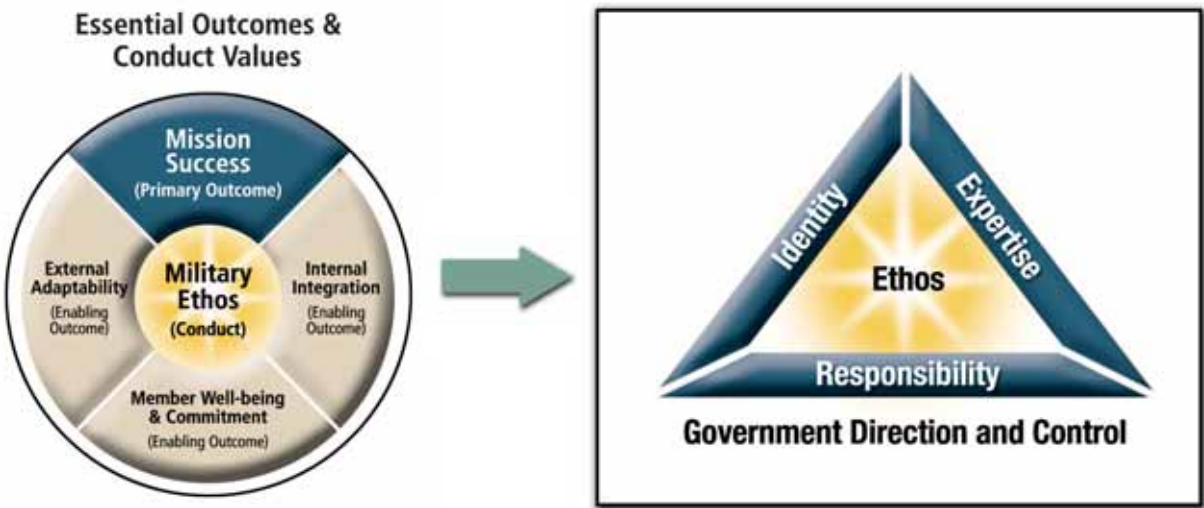
Before examination of the military ethos in more detail, the link between professionalism, as discussed in *Duty with Honour: The Profession of Arms in Canada*, and the CF Effectiveness Model must be understood clearly. In Figure 2.1 the CF professional construct is compared with the CF Effectiveness Model.

**First Royal Canadian Regiment,
Operation STORM, Bosnia and
Herzegovina, 1998**

**Deputy Chief of the Defence Staff
Commendation**

Awarded in recognition of steadfast and professional action in the face of large-scale civil unrest in the town of Drvar, Bosnia-Herzegovina, on 24 April 1998. Soldiers of the First Royal Canadian Regiment Battle Group acted quickly and with great composure to place themselves between a violent crowd and unarmed refugees, preventing almost certain injuries and loss of life. Having acted with courage and restraint in resisting the temptation to shoot hostile belligerents, the Battle Group preserved the foundation for a restoration of peaceful relations between ethnic communities, bringing credit to themselves and to the Canadian Forces.

Figure 2.1 Canadian Forces Effectiveness Model and the Professionalism Construct



Note the pivotal location of the ethos in both models. The values, norms and behaviours contained in the ethos influence the attributes and outcomes in similar ways in each case. This is the basis for claiming that the CF philosophy of leadership is a values-based philosophy.

THE RELATIONSHIP BETWEEN THE DEFENCE ETHICS PROGRAMME AND THE MILITARY ETHOS

The Defence Ethics Programme was begun in the 1990s. Within the context of this programme was created a Statement of Defence Ethics that applies to all members of the Department of National Defence and the CF. The Statement of Defence Ethics contains three ethical principles that are hierarchical in nature; that is, normally, the first one takes precedence over the second one, which takes precedence over the third:

- Respect the dignity of all persons;
- Serve Canada before self; and
- Obey and support lawful authority.

It thereafter enunciates six core ethical obligations that have equal weight:

- Integrity;
- Loyalty;
- Courage;
- Honesty;
- Fairness; and
- Responsibility.

The Statement of Defence Ethics addresses a disparate community of military professionals and professional Public Service employees of all ranks and levels across the country and abroad and, therefore, does not fully meet all the

Chief Warrant Officer J. A. Comeau, Operation APOLLO, Afghanistan, 2002

One of the incidents on the landing zone on the first day of the air assault happened when a young soldier was coming off the helicopter ramp; she lost her footing and fell backward, jamming her leg behind her back. The loadmaster on the aircraft went to help her off the ramp, but she motioned that she would be able to do it herself. When I went to see her being treated, where she had crawled off the helicopter, I asked her why she didn't stay on so that she would be able to get better care back in Bagram. She simply stated that she was carrying ammunition for the C6 machine gun and she wanted to ensure that the gunner was going to get it before she went anywhere. This confirmed in my mind that she had understood what I had emphasized to the battle group: Mission, Buddy, Self, and then everything else that was important in your life came after. I will always hold this soldier's action near and dear to my heart, for she was an example of the dedication that our Canadian soldiers demonstrated on that first day of battle.

requirements and challenges of military service. Consequently, the principles and obligations have been subsumed within the Statement of Canadian Military Ethos in order that CF members can act upon them within the context of the unique function of the profession of arms, the "ordered application of military force in accordance with government direction." None are excluded, but allowance is made for the reality that military professionals and CF leaders often need to apply the principles and obligations in conditions very unlike those experienced by



their Department of National Defence (DND) colleagues. A prime example is the requirement for CF members to be prepared for and to engage in combat operations.

Furthermore, the military ethos must incorporate other particular values and beliefs that do not invalidate the principles and obligations but condition their specific application. Examples include the value placed on military discipline, the fighting spirit, and the acceptance of the unwritten contract of unlimited liability. Canadian Forces leaders understand that when they teach the military ethos, when they inculcate it in their followers, they are doing full justice to the spirit of the Statement of Defence Ethics.

Major T. Mykytiuk, Operation ATHENA, Afghanistan, 2003

I can remember many times being proud of the soldiers when I saw them conducting their duties with tact, professionalism, patience and a sense of purpose. The bottom line is that leaders must give their subordinates the freedom to make decisions, to take ownership and to make mistakes, all without penalty. If not, they will never strive to use their initiative or to make a decision. Allowing my leaders and soldiers to use their initiative helped forge the company into a much stronger sub-unit for the Commanding Officer to use as he saw fit.

THE CANADIAN MILITARY ETHOS

The Canadian military ethos consists of three components: Beliefs and Expectations About Military Service; Fundamental Canadian Values; and Core Military Values.

Beliefs and Expectations About Military Service

- *Unlimited liability.* CF leaders accept this concept and must carefully explain to followers that it means accepting the fact that CF military professionals can be lawfully ordered into harm's way in conditions that could lead to injury or the loss of their life. This unwritten contract is required and accepted because they have sworn to serve Canada before self

Master Warrant Officer A. W. Simmons, Operation ATHENA, Afghanistan, 2003

I remember speaking to the Company Commander, and we talked about the need for us to lead by example and go on a patrol. I can remember thinking that I may be placing my crew in harm's way, but I believed there was an overarching need to be seen outside the gate to give the soldiers confidence in our mission, their leaders, and our *raison d'être*.

I can remember the time the Company Commander and I were up armouring our vehicle with our crew, and I overheard the maintainers say they were surprised that the Officer Commanding and the Company Sergeant Major were helping as well. I was proud to hear their comments and knew that my main aim of making the crew a solid unit was working. Yes, the Company Commander and I could have been doing other work at the time, but the crew *esprit de corps* was more important for mission success.

and to exemplify the essence of the first core military value of Duty;

- *Fighting spirit.* CF leaders develop a competitive spirit in their followers that seeks to prevail in all situations — the will to win. Fighting spirit imparts to individuals the moral, physical and intellectual qualities necessary for them to operate in conditions of extreme danger, to endure hardship, and to approach their assigned missions with confidence and tenacity. Leaders who embody the fighting spirit are not intimidated by adversity or danger;
- *Discipline and self-discipline.* CF leaders enforce discipline when necessary to achieve objectives that could not be obtained by military skills alone. Discipline allows compliance with the interests and goals of the military organization while instilling shared values and common standards. Above all, leaders encourage the concept of self-discipline, which reduces the need for externally imposed discipline and supports independent action and initiative; and
- *Teamwork.* CF leaders know that the profession of arms is a collective endeavour. Teamwork is needed to leverage knowledge, talent and skills while permitting military members and organizations to prevail in the most complex and dangerous situations.

Fundamental Canadian Values

Canadian values anchor CF leaders in Canadian society, and as expressed in the Statement of Defence Ethics, include the requirement to respect the dignity of all persons and to obey and support lawful authority (that is, the rule of law, both national and international). Formal leadership in the CF is based on lawful authority.



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 to

- obey the law, that is, to use in accordance with the law any authorities and powers provided by law;
- instruct CF members on their obligations under the law; and
- uphold the law, that is, defend the rule of law as an important societal value, and enforce discipline and obedience to the law.

The relationship between military leadership and obedience to lawful authority is clearly and forcefully established pursuant to (1) the *National Defence Act*, *Queen's Regulations and Orders*, which establishes the lawful authority of superiors ("Every officer and non-commissioned member shall obey lawful commands and orders of a superior officer"), and (2) the *Code of Service Discipline*, which 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"). In addition, the *Queen's Regulations and Orders*

specify the general responsibilities of officers and non-commissioned members to uphold service discipline.

Canada also subscribes to a body of international law that lays down principles for both engaging in war and conflict and engaging in operations in those circumstances. *Jus ad bellum* (the law towards war) governs and seeks to limit resort to armed force in the conduct of international relations. Its major source is the *Charter of the United Nations*, Article 2(4) and Chapter VII. It provides for competent authority, right intention, reasonable anticipation for success, good predominating over evil, proportionality, and war as a last resort. *Jus in bellum* (the law in war) governs and seeks to moderate the actual conduct of hostilities. Its major sources are the four *Geneva Conventions* of 1949 and the *Hague Conventions* of 1899 and 1907. The Geneva law is concerned with protection of victims of armed conflict, and the Hague law is concerned with methods and means of warfare. Together, these conventions provide for due proportionality, distinction and discrimination, humanity, and military necessity. For example, rules of engagement are shaped by both national and international law.

Canadian Forces leaders operate under the supremacy of the government, at the behest of the government, and represent the government and its policies. Canada is a liberal democracy and expresses its civic values most forcefully in the *Canadian Charter of Rights and Freedoms*, part of the *Constitution Act* (1982). The Charter specifies the fundamental rights and freedoms of all Canadian citizens. Canadian civic values support the vision of a community of equal citizens, with equal rights regardless of race, colour, religion, language, gender, sexual orientation or ethnic origin. Effective CF leaders are guided by these fundamental rights and treat all people in accordance with them.

On this basis, respect for diversity, fair treatment of people, and other elements of the ethos should eliminate the need for formal programs that are specifically designed to reduce behaviours and attitudes such as harassment and racism. Failure to align CF culture fully with the ethos in the past led to deficiencies and a host of remedial actions. These are unnecessary when leaders give full effect to the ethos. Leadership is a positive force for treating people with respect, dignity and equity. Former programs such as SHARP (Sexual Harassment and Racism Prevention) are reactive and narrow in scope and will be unnecessary when all military professionals act in accordance with the military ethos.

Core Military Values

Canadian military values are essential for conducting the full range of military operations, up to and including war fighting. Military values must always be in harmony and never in conflict with Canadian values. Following are the core military values:

- *Duty.* This core value obliges members of the CF to display dedication, initiative and discipline, while adhering to the law of armed conflict in performing their tasks. Leaders must serve Canada before self and achieve mission success, while ensuring the well-being of their subordinates;
- *Loyalty.* Military loyalty relates to duty and entails personal allegiance to Canada, commitment to the rule of law, and faithfulness to comrades. In the CF, enduring loyalty is reciprocal and based on mutual trust regardless of rank;
- *Integrity.* CF leaders are expected to exhibit steadfast commitment to moral principles and obligations and to be accountable for their actions. This calls for honesty, truthfulness, uprightness, the avoidance of deception, and adherence to high ethical standards at all times; and



- *Courage.* CF leaders must place great value on courage, both physical and moral. This quality allows the leader to disregard the cost of an action in terms of physical difficulty, risk, success or popularity. It entails both willpower and the resolve not to quit.

To motivate and guide, behaviour 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 as consistent ethical behaviour, on and off duty. Leaders make the difference. Leaders make values real by:

- internalizing the values of the military ethos and living by them;
- instilling the ethos in others;
- establishing and maintaining a professional culture;
- protecting the professional reputation of the CF; and
- facing and resolving problems lawfully and ethically.

ALIGNING CULTURE WITH ETHOS

It is not enough for leaders to simply know what the Canadian military ethos is. They must actively promote it, ensuring that their followers understand it and practise it in all their activities. In this way, the day-to-day life of the group or unit reflects the values, beliefs and attitudes contained in the CF's statement of values. This is

what is meant by the phrase “aligning the team’s culture with its ethos.” There are several ways in which this alignment is achieved:

- Leaders must lead by example in accordance with the military ethos and be able to fully account for their actions. They engage directly, as role models, with their followers. They act as coaches and/or mentors, advising their followers how to improve their performance in line with the norms of the ethos;
- Leaders react quickly, decisively and transparently to problems that reflect any lapse in adherence to the values demanded in the ethos. These lapses may result from the actions of an individual or even the overall performance of a group. In either case, leaders explain clearly what value is in question and how attitudes or actions can be rectified or improved. In serious cases, such as disobedience of a lawful order or severe indiscipline, prompt disciplinary action may be called for;
- Leaders constantly refer to what is important to them in terms of individual and group conduct. This ranges across all components of the ethos, with leaders stressing teamwork, self-discipline, loyalty to comrades, honesty, and moral and physical courage;
- Leaders ensure that exemplary conduct is recognized and rewarded with reference to those values that guided the conduct. Thus, for example, individuals who perform their duty in an extraordinary way are singled out for praise and as an example to all other members of the team;



- Leaders explain to their followers, as required, how the military ethos has directly or indirectly shaped unit, formation and CF policies and practices. For example, the zero-tolerance policy on harassment, which is fully consistent with the values previously listed, has made the CF a more tolerant, inclusive and diverse organization; and
- Leaders emphasize the unit's and the CF's history and traditions that reflect the ethos in action. Battle honours invariably involve all elements of the ethos. Strong performance on humanitarian missions, foreign or domestic, reflect especially fundamental Canadian values central to the ethos, such as caring for others and social justice.

ETHICAL DECISION-MAKING

While aligning culture with ethos, CF leaders in their decision-making role sometimes encounter ethical dilemmas when values collide. In such cases, they must decide what to do. For instance, on what do leaders base their decision when no matter what they decide, the outcome may have

undesired consequences? It is important to stress immediately that there is no single and universally accepted rule, or set of rules, that is guaranteed to produce the ethical solution for the major ethical issues that leaders encounter either on base or on operations. However, as a general check on whether a particular decision, option or course of action is ethically acceptable, leaders can ask themselves if the intended action violates any of the values or beliefs contained in the Canadian military ethos.

Five Stages of an Ethical Decision-Making Process

Making ethical decisions involves a five-stage process:

1. Perceive the problem and consider the obligation to act.
2. Evaluate the problem (that is, what are the issues, what are the facts?).
3. Make a decision (choose the best option with due consideration for the rules, values, consequences, and care for others).
4. Implement and accept responsibility for the decision.
5. Monitor and adjust.

The first stage is certainly the most important. If leaders do not perceive an ethical dilemma or problem, then they will not attempt to address or solve it. For this reason, inculcation of the military ethos is so important for CF personnel. Canadian Forces leaders must be constantly alert to moral and ethical transgressions — issues and situations that are contrary to stated values and norms. Once the problem has been perceived, however, the leader must spend some time evaluating it and exploring various solutions, and then make and implement a decision.

As CF leaders advance in rank and experience and as they experience first hand the challenges of leadership and the complexity of operations, a process of maturation takes place and a perspective and wisdom are developed. Effective leaders understand that this process is all-important, and they aid the process by actively pursuing their growth in this area. The personnel system in the CF promotes this process through conscientious planning of succession and postings, for example. CF leaders move through the development process by:

- consciously examining their own behaviour;
- consulting others and applying appropriate rules and regulations;
- learning from those with experience; and
- learning from mistakes.

The achievement of advanced moral reasoning is a sequential process. It begins in childhood, and through our innate capabilities, our experiences and a process of growth we develop. Most often, the real or meaningful growth we experience is attained the hard way: by learning from our mistakes, by having the courage to look critically at our actions and by being honest with ourselves when we don't measure up.

What is clear by now is that effective leadership is essentially about balance. In the CF, it is about balancing the values that CF leadership espouses. This balancing is never easy. It should be equally clear that the emphasis placed by this manual on developing and honing skills such as problem-solving, critical thinking and moral decision-making will help leaders to determine the right balance in any given situation. These capacities are key to the ability to appropriately balance colliding values.

Summary

- Canadian Military Ethos: comprises values, beliefs and expectations that reflect core Canadian values, the imperatives of military professionalism, and the requirements of operations. It acts as a centre of gravity for the military profession and establishes an ethical framework for the conduct of military operations.
- Military Culture: institutional patterns of behaviour based on doctrine, history, heritage and tradition, technological preferences, unique function, and operational experience.
- Values-Based Leadership: All actions and decisions are based on the values, norms and principles exemplified in the Canadian military ethos.
- Ethical Principles:
 - Respect the dignity of all persons;
 - Serve Canada before self; and
 - Obey and support lawful authority.
- Canadian Military Ethos
 - Beliefs and Expectations About Military Service:
 - Unlimited liability;
 - Fighting spirit;
 - Discipline and self-discipline; and
 - Teamwork.
 - Fundamental Canadian Values
 - Core Military Values:
 - Duty: serving Canada before self, achieving mission, and caring for members.
 - Loyalty: loyalty to comrades, loyalty to subordinates and superiors.
 - Integrity: doing the right thing, honesty, and accountability.
 - Courage: moral and physical courage, speaking truth to power.
- Aligning Culture with Ethos
 - Leaders must lead by example;
 - Leaders react quickly, decisively and transparently;
 - Leaders constantly refer to what is important;
 - Leaders ensure that exemplary conduct is recognized and rewarded;
 - Leaders explain to their followers, as required, how the military ethos has either directly or indirectly shaped unit, formation and CF policies and practices; and
 - Leaders emphasize unit and CF history and traditions.
- Ethical Decision-Making
 1. Perceive the problem and consider the obligation to act.
 2. Evaluate the problem (that is, what are the issues, what are the facts?).
 3. Make a decision (choose the best option with due consideration for the rules, values, consequences, and care for others).
 4. Implement and accept responsibility for the decision.
 5. Monitor and adjust.



Mission Success Through Leading Others

3

The Concepts of Command, Authority, Leadership and Management	26
Power and Influence	28
The Spectrum of Leader Influence Behaviours	31
Transactional and Transformational Leadership	34
Leader Intent	36
Critical Requirements of a Leader	37
Summary	38

CHAPTER

The Concepts of Command, Authority, Leadership and Management

Command is the vested authority an individual lawfully exercises by virtue of rank and appointment over subordinates. The North Atlantic Treaty Organisation's (NATO) accepted definition, which has been adopted by Canada, defines command as “the authority vested in an individual of the armed forces for the direction, co-ordination and control of military forces.” Command is a very personal function, and each person approaches it in different ways depending on his or her experience, circumstances and personality. Its essence, however, is the expression of human will, an idea that is captured in the concept of Commander's Intent as part of the philosophy of Mission Command. In sum, command is the purposeful exercise of authority over structures, resources, people and activities.

Command is not a uni-dimensional concept; rather, it is like a toolbox that contains a number of implements designed to achieve specific results. Command rests on three pillars: Authority, Management and Leadership. Each pillar is an integral and often interrelated component of command. Each can achieve a distinct effect. None is necessarily mutually exclusive of the other, and when used judiciously in accordance with prevailing circumstances and situational factors, they combine to provide maximum effectiveness and success.

Authority

The first pillar is authority, or positional power. Commanders can always rely on their authority to implement their will. Authority, which encompasses a legal and constitutional component, is always derived from a higher or superior entity. It gives a commander the right to make decisions, transmit his or her intentions to subordinates, and impose his or her will on others. In fact, it is

military authority — namely, by virtue of a service person's unlimited liability and the commander's vested authority to send individuals into harm's way, complete with the support of substantial penalties for non-conformance — that differentiates military command from external civilian positions and appointments of power. Although authority is a powerful tool for commanders, reliance on rank and position will never build a cohesive, effective unit that will withstand the test of crisis. At best, it may present an illusion of an efficient organization, but even this is doubtful.

Notwithstanding, at times, such as in a crisis and/or in the face of an individual's or a group's reluctance to change, authority can provide the hammer required to clear the path to renewal or survival. The reliance on decisions or actions by consensus at all times is an effective means of miring an organization in inertia. In some circumstances and occasions authority must be the tool of choice.

Management

The second pillar, management, is designed to control complexity and increase group efficiency. It is primarily concerned with the allocation and control of resources (that is, human, financial and materiel) to achieve objectives. Its focus is staff actions such as planning, organizing, staffing, directing and controlling. Management is also based on formal organizational authority and is unequivocally results oriented. It emphasizes the correct and efficient execution of organizational processes.

The management function is of great importance to commanders and leaders. Management

skills and practices allow them to ensure that subordinates receive the necessary direction, guidance and resources — on time and where required — to achieve the mission in accordance with the commander's intent. As such, management is a critical and necessary component of command. It is not leadership, but then neither should it be. It serves a distinct and vital purpose necessary to CF effectiveness and success. It neither replaces, nor substitutes for, leadership; rather, it is complementary. Management is but one of three instruments, designed to perform a specific function, in the command “toolbox.”



Leadership

The third pillar, leadership, is the “human” side of command, but it is also exercised outside of the concept of command. It deals with the purpose of the organization (“doing the right thing”) versus management (“doing it right”). Leadership relies on influence, either direct or indirect, whereas the concepts of authority and management are based on power and position. Leadership has a pattern of influence intended to alter the characteristics of individuals, organizations or societies in a fairly dramatic or

substantial way so that they are somehow more accomplished or else better equipped to deal with the challenges they are facing or are likely to face. In short, it motivates others to do more than they originally intended and often more than they thought possible.

In the end, leadership is about influencing people to achieve objectives that are important to the leader, the group and the organization. It is the human element that is leading, motivating and inspiring — particularly during times of crisis, chaos and complexity when directives, policy statements and communiqués have little effect on cold, exhausted and stressed subordinates. It is the very individualistic, yet powerful, component that allows commanders and leaders at all levels to shape or alter the environment or system in which people function, and to thereby influence the attitudes, behaviour and actions of others.

POWER AND INFLUENCE

There is a significant difference between command and leadership. Command is only directed downwards. Leadership, because it is the exercise of influence, may be performed downwards and laterally as well as upwards. Thus, leadership is not constrained by formal authority or position. However, in order for leaders to influence others, they must have power. Power is defined as the capacity or the potential to influence. Leaders have power when they are able to affect the attitudes, beliefs, values and behaviours of others and when they have successfully established a trust relationship with their followers. There are two fundamental types of power:

- *Positional.* People gain position power by occupying a position, appointment or rank within a larger social structure of authority and power. Position power confers the capacity



Leading Seaman Y. F. Clément, MSM, Halifax, Nova Scotia

Petty Officer, 1st Class G. S. Ford, MSM, CD, Halifax, Nova Scotia

Captain T. N. Jain, MSM, Halifax, Nova Scotia

Leading Seaman J. A. Leith, MSM, CD, Halifax, Nova Scotia

Petty Officer, 2nd Class M. A. Maynard, MSM, CD, Halifax, Nova Scotia

Chief Petty Officer, 2nd Class K. P. McNamara, MSM, CD, Halifax, Nova Scotia

Leading Seaman D. W. Poole, MSM, CD, Halifax, Nova Scotia

Commander R. R. Town, MSM, CD, Halifax, Nova Scotia

Meritorious Service Medal Citation

On September 2, 1998, Swissair Flight 111 crashed in the North Atlantic Ocean, near Peggy's Cove, Nova Scotia, killing all 229 passengers. The aircraft was completely destroyed on impact and came to rest at a depth of 55 metres, settling into an unstable mound composed of razor-sharp metal and webs of wiring. HMCS *Preserver* arrived within an hour of the crash, and under intense international media attention, search and rescue Operation PERSISTENCE began. As *Preserver's* Commanding Officer, Cdr Town's unique leadership and sensitivity enabled him to motivate and sustain the commitment of more than 1,500 people to the gruesome recovery task. LS Clément, P1 Ford, LS Leith, then PO 2 Maynard, C2 McNamara and LS Poole, members of the Yard Diving Tender *Sechelt*, were the first six divers at the crash site. With the ever-present danger of entrapment and life-threatening damage to their equipment, these divers were directly responsible for the recovery of the Flight Data Recorder and of human remains from the seabed. Working with senior military, Royal Canadian Mounted Police (RCMP) personnel and the federal and provincial governments, and in a dynamic, unpredictable and unprecedented environment, Capt Jain co-ordinated the set-up of the identification facility, which included the morgue and the radiology and dental departments. Through their extraordinary performances, these men brought great credit to themselves, the Canadian Forces, and to Canada both nationally and internationally.

to provide tangible rewards such as time off, awards or promotion. It also provides the capacity to officially punish and administer sanctions. Position power is conferred, but leaders can compromise the legitimacy of their office by improper conduct or ineffective performance.

- *Personal.* Personal power is earned entirely by individual effort, and therefore, certain aspects can be portable. It must be maintained by consistent, ethical and effective conduct and performance. The fact that personal leader power is not a static concept has important implications. Simply put, the potential to

influence others can be increased or decreased by the conduct and performance of the leader. Therefore, leaders must be conscious at all times of their actions, attitudes, conduct and decisions. Because personal power is an attribution made by others, and because leaders cannot control how others perceive and interpret their behaviour, leaders have to be mindful that they are always “on parade” and that their conduct and performance will add to, or detract from, their level of personal power.

Personal power includes three subclasses:

- **Expert power**, or the capacity to provide others with needed knowledge or advice. Expert power derives from unique knowledge, skill or experience and gives rise to the technical-proficiency model of leadership that distinguishes professional armed forces from other forms of military organization. It is important to remember that ethical leaders do not withhold information from others for the sole purpose of establishing or maintaining expert power;
- **Referent power**, or the capacity to provide another with feelings of personal acceptance, approval, efficacy or worth. Referent power is generally based on the personal esteem of followers for a leader and sometimes on their desire to identify with or emulate the leader. It is because of this referent power that a leader’s conduct on and off duty must be beyond reproach. Detractions from good conduct could be perceived as acceptable and emulated by subordinates; and
- **Connection power**, or the capacity to access useful information, resources and opportunities. Personal contacts and ties with other military professionals, influential figures or sources of valued expertise represent several

Sergeant J. R. Y. Gagnon, Operation PALLADIUM, Bosnia, 1995

Meritorious Service Medal Citation

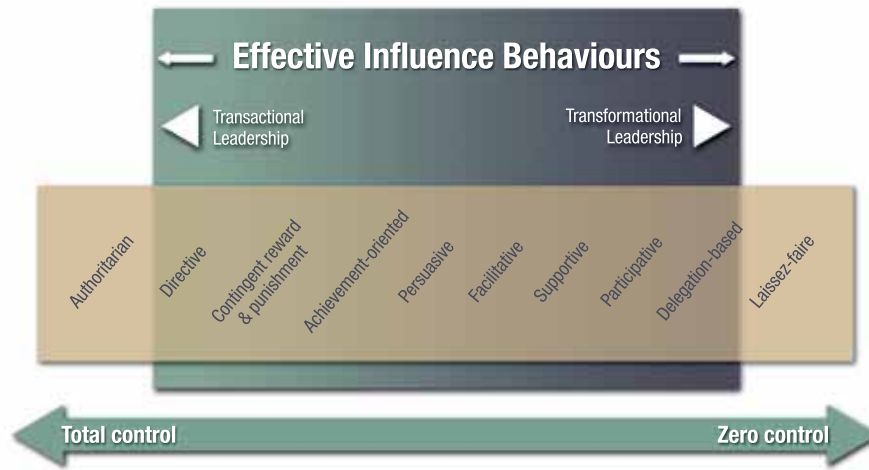
From June 23 to July 25, 1995, Sergeant Gagnon demonstrated extraordinary judgment and objectivity while securing the observation post under his command during an armed attack by a warring faction. The Bosnian Serbs and the Bosnians were struggling for control of the land around the observation post. Amidst direct and indirect fire in the area of the post, Sergeant Gagnon ensured the safety of his group while continuing to discharge his assigned duties. The remarkable dedication and leadership Sergeant Gagnon displayed during this difficult period in his role as commanding officer contributed favourably to the morale and actions of his group.

forms of connection power, or what is sometimes described as “social capital.”

The possession of power in and of itself is not necessarily the most effective means of exercising leadership. Leaders must know how to translate their power base into effective influence behaviours. This influence can take one of two forms:

1. *Direct.* Leaders make a direct contribution to effectiveness through the immediate effects they have on people and their performance by, for example, clarifying individual and group roles and tasks, developing skills, sharing risks and hardships, maintaining discipline and morale, and encouraging high levels of effort and persistence.

Figure 3.1 Leader Influence Behaviours



2. *Indirect.* Leaders contribute indirectly to follower effectiveness by ensuring that the working environment is optimal. They enhance individual and collective performance by ensuring that appropriate resources are available and by setting behavioural and task standards.

THE SPECTRUM OF LEADER INFLUENCE BEHAVIOURS

Leaders use a number of behaviours to communicate their intent and to influence others, which vary in content, tone, intensity and other qualities. Such influence behaviours may be deliberately selected or shaped to achieve a particular effect, or they may be subconscious and habitual forms of the way in which the leader relates to others — hence, the importance of leader self-awareness, and the rationale for 360-degree evaluations, that is, evaluations from peers and followers as well as superiors. Broad patterns of influence are commonly termed leadership styles.

Figure 3.1 provides a comprehensive representation of leader influence behaviours. As illustrated, leader influence behaviours may be differentiated and roughly ordered by the amount of control employed by the leader. This control can range from the total control that characterizes authoritarian leadership to the complete absence of control that is typical of laissez-faire leadership. A follower's latitude for discretion generally increases from left to right across the spectrum of influence behaviours.

The leader influence behaviours may be described as follows.

Authoritarian Influence

Authoritarian influence is based solely on the power of the leader backed up by threat of punishment. Influence seems to be exercised in an arbitrary way because it actually reflects a lack of trust in the reliability of followers and/or a lack of respect for their capabilities and intrinsic worth. Authoritarianism is not an effective form of leadership.

Directive Influence

Directive influence is also based on the legitimate powers and rights of a leader to task subordinates or issue authoritative orders. Direction involves telling followers what they are to do, when, how and to what standard. A directive leadership style is appropriate when followers lack experience and need guidance, when the resolve of individuals or a group has to be stiffened, and when followers may be temporarily disoriented in emergencies and high-stress situations. It may also be appropriate when time is short and leaders do not have a chance to fully explain their orders or intent. Directive influence should always be exercised in an ethical way that respects the dignity of followers.

Contingent Reward and Punishment

Contingent reward and punishment is a style based on reward and coercive powers. “Contingent” refers to the fact that rewards and punishments are normally administered after the event and are subject to the adequacy of individual conduct and performance. This leadership style generally works satisfactorily when rewards are proportional to merit, punishments are consistent and appropriate to offences, and neither rewards nor punishments are allocated randomly or arbitrarily.

Achievement-Oriented Influence

Achievement-oriented influence is primarily concerned with developing the competence and independence of subordinates. This kind of



enabling influence reflects a mission emphasis and typically involves setting difficult but achievable goals and expressing confidence in the ability of followers or others to achieve those goals. Achievement-oriented influence is appropriate across a wide range of developmental and performance situations where the follower's skill and confidence is in no doubt. This style of leadership is appropriate in situations and with groups where high operational effectiveness and readiness standards are expected to be achieved and maintained.

Persuasive Influence

Persuasive influence is primarily intended to affect decision-making and motivation by explaining to, or convincing, others why a certain course of action is necessary. Persuasive influence behaviours may draw upon expert, information or referent power and are appropriate for securing agreement or commitment when particularly high or sustained levels of effort are required.

Facilitative Influence

Facilitative influence often means securing the necessary task resources so that individuals can effectively complete their tasks and missions. It also involves modelling, coaching, mentoring, guiding and other types of leader behaviour that either demonstrate a desired behaviour to others or enable its performance by others.

Supportive Influence

Supportive influence is intended to assist followers in resolving personal or work-related problems or to improve their morale and well-being. Supportive behaviours include recognition of and response to individual needs, demonstrations of

understanding and empathy, offers of help or collaboration, representation of subordinates' interests to administrative authorities, and efforts to improve unit climate. This style is particularly appropriate in cases where the physical work environment is a stress factor and/or the nature of the group's work is unpleasant. Adopting this style alleviates some of the stress on the group caused by the nature of the situation and task, and it allows for a greater feeling of respect and dignity among the follower group.

Participative Behaviours

Participative behaviours involve sharing decision authority with others. The primary objective of participative methods is to improve the quality and/or acceptance of decisions. The use of participative methods depends on the availability of sufficient time to involve others, but these methods are considered essential when subordinates or others possess critical expertise or information, and when the acceptance of a decision or plan by subordinates or others might mean the difference between implementation success or failure. This style is especially appropriate for leaders who are dealing with experienced followers. It can facilitate team building and conflict resolution, especially if the leader values and appreciates the ideas and input of the followers. The team-building approach lies behind this style of leadership. When followers help create a plan, it becomes, at least in part, *their* plan. This ownership creates a strong incentive to invest the effort to make the plan work. Asking for this type of input is a sign of strength and self-confidence. However, asking for advice does not mean the leader is obligated to follow it; the leader is always responsible for the quality of decisions and plans as well as the result.

Delegation

Delegation entails a transfer of specific authorities from the leader to one or more followers. Delegation usually has enriching effects: autonomy, motivation, satisfaction, and the increased meaningfulness of a role or assignment. The fact that these effects are more likely when personal growth and development are important to the subordinate underscores the importance of understanding the subordinate's needs and goals. This style, depending on the magnitude of the responsibilities delegated, is a form of power sharing and can improve the decision quality. It is essential, however, that the leader's accountability be protected; influence may continue to be exerted by obtaining routine reports from subordinates and by monitoring performance. Delegation is closely aligned with the CF mission-command philosophy and is appropriate in complex and highly technical situations characterized by significant time pressures and uncertainties.

Laissez-Faire Leader Behaviour

Laissez-faire leader behaviour amounts to a wholesale transfer of leader authority to subordinates. Leader influence is suspended, and subordinates are given a free rein to do as they please. In theory this approach could work with well-trained professionals who understand what is expected of them, except that laissez-faire leadership fails to preserve the monitoring and reporting controls that the principle of accountability requires. Laissez-faire leadership is not an effective leadership influence behaviour.

TRANSACTIONAL AND TRANSFORMATIONAL LEADERSHIP

As depicted in Figure 3.1, leadership influence behaviours can be related to transactional and transformational leadership styles. In CF leadership doctrine the transactional style remains a necessary style; the transformational style is nonetheless the preferred approach. When these two leadership philosophies are compared to the Spectrum of Leader Influence Behaviour of this figure, two things are clear. First, there is no sharp break between the two approaches. Rather, the more the influence behaviours reflect the left side of the spectrum, the more “transactional” is the leadership. Conversely, transformational leadership relies much more on influence behaviours towards the right side of the spectrum. Second, the appropriateness of an area of the spectrum depends on the level of development and training of those led. Followers who lack necessary skills, knowledge, attitude and motivation for the task at hand will need to be led in accordance with the influence behaviours that are more to the left on the spectrum. The most effective leaders are those who can shift between the two styles as required by circumstances and the characteristics of followers.

Transactional leadership is based on the concept of exchange. In essence, leaders trade rewards and punishment for the appropriate behaviours and performances of followers. It rests heavily on position power and on exchange and pressure influence tactics (that is, the left side of the spectrum in Figure 3.1, versus the right side).



Conversely, transformational leadership challenges followers to rise above their immediate needs and self-interests. The transformational approach is developmental; it emphasizes individual growth and team enhancement. Transformational leaders empower followers; in other words, transformational leaders transfer or delegate power to their followers.

Most leaders exhibit a mix of transformational and transactional leadership depending on the demands of the situation, their leadership abilities, and the quality of relations between them and their followers. Those in positions of command can exert transformational leadership over some followers while simultaneously providing transactional leadership to others. Although many leaders are more inclined to transformational leadership and others are more comfortable with transactional leadership, some provide both styles of leadership. Research indicates that these leaders are more effective than those who exhibit primarily transactional behaviours.

Guidelines for Transformational Leadership

- *Articulate a clear and compelling vision.* Transformational leaders build commitment to a vision, not to a task. They communicate on a regular basis what that vision is. Members of the CF possess one of the finest reputations in the world — in or out of uniform — and there is a reason for it. Remind people of that reason. When the opportunity presents itself, make reference to the overall ideological aspect of CF membership. If the opportunity does not arise, make one. Each and every CF member belongs to an organization, unit and occupation with a proud history. Remind people of that history;
- *Explain how the vision can be attained.* It is not enough to simply articulate an appealing vision; you must make a clear link between the vision and its feasibility. Remind followers of the big picture and how their efforts add to the accomplishment of the mission;
- *Act confidently and optimistically.* Your followers will not have faith in the vision if you do not act with self-confidence and conviction. Can the job be done? Yes, it can. Leader confidence and optimism are highly contagious and will infect the entire team. Emphasize what has been accomplished so far, not what still needs to be done;
- *Express confidence in followers.* The motivating effect of a vision depends much on whether or not your subordinates believe they can achieve it. Foster confidence and optimism by demonstrating that you believe in your followers. Review their strengths and list the advantages they have relative to other teams, past taskings or potential opponents; and

- *Empower people to achieve the vision.* Empowerment means delegating the authority for decisions about how to do the work to the individuals and teams responsible for doing it. It does not mean relinquishing accountability. It does mean that leaders encourage followers to make decisions, to suggest solutions to problems, and to determine for themselves the best way to accomplish the objective. Empowering means allowing followers to exercise discretion, and it means ensuring the resources are there for them to carry out the task.

LEADER INTENT

Operational doctrine in the Canadian Forces requires that commanders articulate a “commander’s intent” to enable subordinates to understand the overall vision or broad objective, while providing them with the latitude, based on

immediate existing circumstances, to determine how best to achieve a specific mission. This concept is not different for any leader. Within the context of the commander’s intent, subordinate leaders articulate their personal expression of why an operation or task is being conducted and what they expect to achieve. The leader’s intent is a clear and concise statement of the desired end state and acceptable risk. Its strength is the fact that it allows followers to exercise initiative when there are no immediate orders, when unexpected opportunities arise, or when the original concept of operations no longer applies. As such, a leader’s entire effort, whether in planning, directing, allocating resources, supervising, motivating or leading, is driven and governed by the vision, goal or mission and the will to realize that vision, goal or mission.

This approach is the foundation of the concept of Mission Command, which is a command philosophy that promotes decentralized decision-making, freedom of action, and initiative. It entails three enduring tenets: the importance of understanding commander’s intent, a clear responsibility to fulfil that intent, and timely decision-making.

Taken together, a leader’s intent within the concept of Mission Command is an empowering approach that provides flexibility and speed of responsiveness to changing situations. However, it is dependent on risk acceptance and trust. It must be understood that not all followers will be capable of exercising mission command, because of their lack of confidence, experience or competence. A leader must accept that followers may not always complete a task in the same manner that he or she would complete it. A leader must also accept that sometimes honest errors will be made, and these must be accepted without penalty. Yet the rewards are substantial.



Knowing the leader's intent permits subordinates to anticipate and react to unseen obstacles and to exploit fleeting opportunities. It provides empowerment for followers and challenges them. It displays trust and confidence in their abilities and leads to commitment and mission success.

CRITICAL REQUIREMENTS OF A LEADER

This chapter has been primarily about concepts, styles and theories that underlie and account for effective leadership. These elements can be integrated into a set of ten Critical Requirements of a Leader, all of which are of equal significance. The requirements can then serve as a practical, applied assessment tool.

- A successful leader seeks and accepts responsibility and accountability;
- A successful leader performs effectively under stress;
- A successful leader correctly applies skills and knowledge;
- A successful leader demonstrates initiative and decisiveness;
- A successful leader seeks and accepts advice and constructive criticism;
- A successful leader inspires team spirit, performance and co-operation;
- A successful leader plans effectively;
- A successful leader communicates effectively;
- A successful leader supervises effectively; and
- A successful leader delegates effectively.

Summary

- Power and Influence: Leaders direct, motivate and enable through the exercise of influence and power.
 - Power is either positional or personal;
 - Personal power comprises three sub-classes: expert, referent and connection; and
 - Influence can be either direct or indirect.
- Spectrum of Influence Behaviours: There are eight types of behaviour that are exercised in accordance with the situation and the state of the followers' professional development:
 - Directive;
 - Contingent reward and punishment;
 - Achievement-oriented;
 - Persuasive;
 - Facilitative;
 - Supportive;
 - Participative; and
 - Delegation based.
- Transactional Leadership: involves leaders trading rewards and punishments for the appropriate performances of followers.
- Transformational Leadership: developmental; emphasizes individual growth and team enhancement.
- Leader Intent: a personal expression of why an operation or task is being conducted and what achievement is expected. The leader's intent is a clear and concise statement of the desired end state and acceptable risk.
- Critical Requirements of a Leader:
 - A successful leader seeks and accepts responsibility and accountability;
 - A successful leader performs effectively under stress;
 - A successful leader correctly applies skills and knowledge;
 - A successful leader demonstrates initiative and decisiveness;
 - A successful leader seeks and accepts advice and constructive criticism;
 - A successful leader inspires team spirit, performance and co-operation;
 - A successful leader plans effectively;
 - A successful leader communicates effectively;
 - A successful leader supervises effectively; and
 - A successful leader delegates effectively.



Being an Effective Leader

4

CHAPTER

Professional Competence	40
The Task Cycle	41
The Leader-Follower-Situation Framework	51
Achieving Mission Success	53
Summary	54

Professional Competence

Effective leaders understand their responsibilities, have and convey a sense of duty, and understand and work well with people. However, good leaders know that they must first start with themselves. They must master the skills, techniques, attitudes and knowledge relevant to their position. This is a lifelong process that does not end with the completion of a course or leadership position or the achievement of a career goal. It is an ongoing process in two senses. First, for as long as they occupy a given leadership position, leaders must continually develop their expertise. Second, as they are posted or appointed to different positions, with or without promotion, leaders must acquire different skills and knowledge. Leaders do not, and in fact cannot, know everything their followers know. They must, however, be familiar with their skill sets and understand how they fit into the organization and how these skill sets are best utilized to achieve mission success.

Leaders must increase their professional competence through self-study, reading relevant professional publications, taking courses offered by various colleges and universities, and perhaps above all, analyzing their own experience objectively to determine where they might improve their performance the next time. This involves being open to constructive criticism from all sources — which is often easier said than done. Effective leaders have to actually structure opportunities to gather this information. Feedback from superiors, peers and followers, as a result of direct requests, is always helpful. Beyond this approach, leaders can arrange more formal debriefing sessions where the group can freely exchange reactions and make suggestions for both individual and collective improvement. This also allows the leader to learn from the experience of others.

A forward-thinking leader will seek the formal courses offered and required within the Canadian Forces. These include focused, technical courses related to the individual's occupation and general courses such as those offered at the CF Management Development School. Professional leadership and military education courses, such as those offered at the Canadian Forces College and the NCM Professional Development Centre, are of paramount importance to a leader's professional development.

Professional competence involves more than knowing how to accomplish any given job. Leaders must constantly improve their knowledge and understanding of the profession of arms itself. There is a common body of knowledge at the core of the profession: the *general system of war and conflict*, which comprises policy, strategy,

operational art, and tactics. This is a theory-based body of professional knowledge analogous to core bodies of knowledge in other professions such as engineering (physics and chemistry), medicine (biology, pharmacology, etc.) and law (Positivist school, Historical school, etc.). As such, it is accessed through education and a degree of scholarly study and reflection. Leaders understand that in order to dominate the battlespace across the spectrum of operations in a manner that inspires the confidence and trust of their followers, they must master this core knowledge. At the junior level, leaders focus primarily on the tactical sphere; however, as they advance in level and responsibility, whether officer or NCM, they have to access the knowledge incorporated in the higher spheres of national security policy, strategy and operational art.

Achieving professional competence is not a static event. It requires continuing and ongoing vigilance to ensure that the professional is always

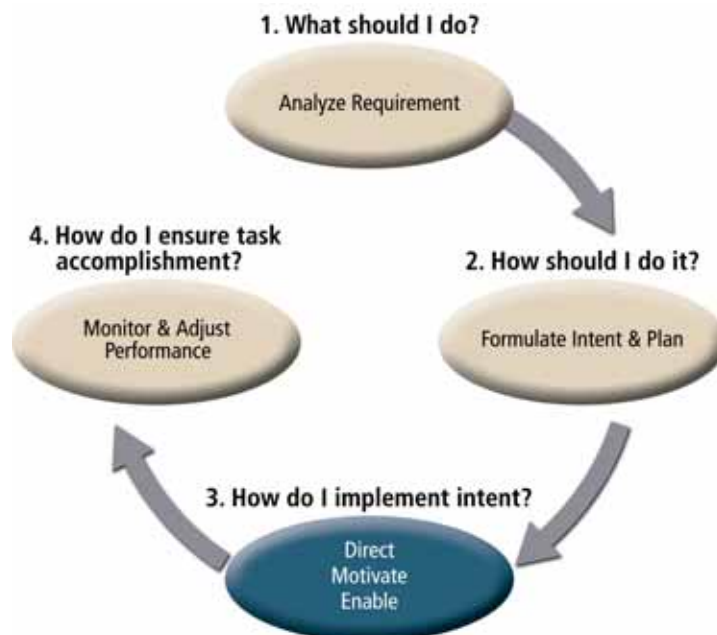
aware of changes and advances in his or her field. This is achieved through all four pillars of professional development (education, training, experience and self-development). In the modern battlespace, education must be accorded a very high priority to deal with the chaos and complexity that exist.

THE TASK CYCLE

At every leader level, the leader applies his or her professional competence through a structured decision-making process — the Task Cycle. The Task Cycle has four stages (see Figure 4.1):

1. Analyzing the requirement;
2. Formulating the intent and the plan;
3. Leading (implementing: directing, motivating, enabling); and
4. Monitoring and adjusting performance.

Figure 4.1 The Task Cycle



This simple decision-making tool can be applied in almost any environment. However, in a military leadership situation, to ensure that the process meets the demands of today's complex battlespace, there are a number of specific considerations that must be applied.

Stage 1 — Analyzing the Requirement

Another way of saying this is to think clearly, critically and logically. The analysis step involves considering situational factors relevant to the task (including any legal and ethical constraints), thinking through their implications (that is, the advantages and disadvantages) and

Petty Officer, 2nd Class R. W. Swann, Operation AUGMENTATION, Arabian Gulf, 2002

Meritorious Service Medal Citation

On 23 July 2001, as Second in Command of HMCS *Winnipeg's* boarding party during the Operation AUGMENTATION 2001–2002, Petty Officer, 2nd Class (PO 2) Swann displayed exemplary performance and initiative while his ship's boarding party conducted the non-compliant boarding of an oil tanker. Under the searing heat of the Arabian Gulf, PO 2 Swann personally led the four-person team that breached passive countermeasures and entered the unfamiliar and heavily fortified vessel. Once inside, the team was confronted at close quarters by angry, aggressive and determined smugglers. PO 2 Swann displayed sound judgment and impressive composure under considerable stress, quickly taking charge and defusing the volatile situation. As a result, the vessel carrying 7,000 tons of smuggled oil was successfully apprehended.

identifying possible courses of action. Gathering input from others by tapping their expertise and intellect enhances this process. The analysis phase should result in a number of possible courses of action.

Stage 2 — Formulating the Intent and the Plan

At this stage, leaders decide among the alternative courses of action, develop their intent and produce a plan to guide followers' actions. Although consultation is always helpful, the final decision rests with the leader. Several factors influence the leader's decision:

- *Sufficient information.* Is there sufficient information to make a high-quality decision? When faced with a task that goes beyond their range of knowledge or experience, leaders should not hesitate to draw on the expertise and experience of superiors, colleagues and followers. Asking for and using such advice increases the chances of success and builds mutual trust and confidence;
- *Subordinate commitment.* As a rule, when commitment is important but also in doubt, leaders must, at a minimum, do a convincing job of explaining and providing a logical rationale for their decision and intent. Time permitting, consultative and participative forms of leader influence behaviour will often increase decision acceptance;
- *Securing and managing resources.* Leaders must assess carefully whether there are sufficient resources available to do the task. This sometimes requires very hard-headed judgment and even a degree of risk acceptance. The temptation will always be to seek more resources and, if they are not forthcoming, to lose confidence in the ability to succeed.



Leaders have to realize that resources are usually scarce and are being distributed among other peers and colleagues. Within reason, therefore, leaders have to accept their allocation and devise a plan to manage them efficiently and effectively; and

- *Time available.* When time is extremely limited, as is often the case in operational scenarios, leaders may have to make unilateral assessments and decisions. To reiterate what has been said several times in *Leading People*, this requires that effective leaders know what they are doing. They have achieved maximum professional competence and are physically and mentally fit to act in an autonomous manner if required.

An effective plan must answer the following questions: *Who* is going to achieve *what*? *Where* are they going to do it? *When* are they going to do it? *Why* are they going to do it? (that is, *What is the leader's intent?*). How they are going to do it should only be given in cases where subordinates are inexperienced or lack essential skills, knowledge or capabilities, or where for operational reasons (that is, legal or political), restrictions must be placed. It is important to understand in this phase that planning must result in orders, formal or informal. This is discussed below, but the point to be made here is that giving orders, verbally or in writing, means that leaders must develop their communication skills in both these mediums if they are to be successful.

Stage 3 — Leading

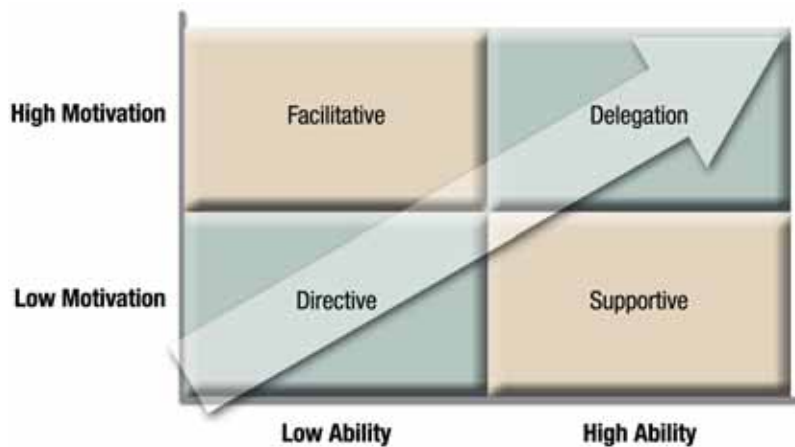
At this stage in the task cycle there are ten particular actions required for effective leadership.

1. *Demonstrate professional competence.* As discussed above, the absolute foundation for effective leadership is the individual's mastery of the knowledge, skills and techniques required at each level and function of the profession of arms.
2. *Lead by example.* Set, explain and adhere to the standards and desired behaviours expected of the team. This means:
 - Never ask subordinates to do something that you yourself would not do;
 - Lead from the front. Leaders must be visible, open and transparent. Participate in professional development (that is, education, training, self-development and experience) as well as all other facets of CF life with your team;
 - Share in the hardships of your team. Never allow yourself luxuries or privileges when your followers are doing without. Never rest or eat ahead of your troops. Take care of your subordinates before yourself;
3. *Motivate.* People do things because they are motivated to do them. Motivating others is not simple; there are many factors at play. However, the concept of motivation is an important one to be understood as it underpins human behaviour. Followers can be motivated by the requirement to satisfy basic needs such as sleep and food, and leaders always attempt to provide these basics to the fullest extent possible in the prevailing circumstances. Followers do not always need luxurious treatment, but they do require fair treatment. Followers are also powerfully motivated by social and growth needs. The former are related to acceptance, belongingness and stable interpersonal relationships. The latter are based on the desire to grow, achieve and accomplish — the desire for personal development.

There is another facet to motivating people that is important to understand: the difference between intrinsic motivators and extrinsic motivators. Intrinsic motivators are motivators that are generated internally by the individual; for instance, in terms of work, the individual's internal desire to accomplish a task because of the challenge, his or her interest in the project, or his or her need to be seen as competent and knowledgeable. Extrinsic motivators come from outside the individual; for instance, a letter of commendation, short leave, or fear of punishment. In sum, there is a place for both positive and negative incentives.



Figure 4.2 Motivation-Ability Relationship



There is a relationship between motivation, a follower's ability, a leader's style and the choice of influence behaviour. This is illustrated in Figure 4.2.

Here again, it can be seen that transactional leader styles may be important when followers have both low ability and low motivation. These styles might also apply when ability is high but motivation is low. However, in this case, a supportive influence behaviour is superior as leaders improve morale and members well-being. This, of course, is at the transformational end of the spectrum. The concept of mission command is only an appropriate choice of action for leaders whose followers are highly motivated and have high ability.

4. *Give effective orders.* Regardless of the level of motivation and ability, leaders must give effective orders if the task completion is to be successful. The degree of detail contained in orders will vary according to ability and motivation. In all cases, however, leaders must

provide a full picture of the prevailing situation. They must provide a succinct and clear statement of the aim — in a single, simple sentence. Orders then provide the leader's intent, a short description of the leader's vision of the end state of the operation or completed task. The intent statement, the “why” of the mission, can be augmented with a concept of operations that provides an overview of the “how” of the operation from start to finish. Discrete tasks are then assigned, but in accordance with mission command they should not be unduly specified or constrained. Finally, adequate provision for overall control and resource allocation is made.

5. *Communicate.* Leaders must use all types of oral and written communications. The most effective method is face to face. In order to develop an effective and inspirational communications style, the leader must take advantage of every opportunity to address his or her oral and written communication skills. This includes making the effort to seek constructive criticism

as often as possible. In addition, effective listening is a key component of communication and closes the feedback loop.

6. *Clarify objectives and intent.* It is the job of CF leaders to ensure that their followers are given clear direction and understand what is required of them. Confusion about responsibilities and priorities results in misdirected effort and the performance of irrelevant tasks. It is critical that leaders convey their objective and their intent. The more ambiguous or complex the task, the more clarification is required. Highly trained individuals may need less clarification than do new members, but even when followers are highly seasoned, it is essential that they understand what is required and why. The responsibilities of leaders in this regard fall into three main areas: defining job responsibilities, assigning work and setting performance goals.

a. Defining job responsibilities:

- Explain the important job responsibilities;
- Clarify the person's scope of authority;
- Explain how the job relates to the mission of the unit; and
- Explain important policies, rules and requirements.

b. Assigning work:

- Clearly explain the assignment;
- Explain the reason for the assignment;
- Clarify priorities and deadlines; and
- Check for comprehension.

c. Setting performance goals:

- Set goals for relevant aspects of performance;
- Set goals that are clear and specific;

- Set goals that are challenging but realistic; and
- Set target dates for attainment of goals.

7. *Solve problems and make timely decisions.* The key to effectiveness in today's environment is the ability to reason analytically and critically. The leader must be able to analyze complex information very quickly and make appropriate decisions on what is known and what is likely. It is thinking that requires not only vigilance regarding the surrounding environment but also constant sifting and resifting of all available information. This ability to think quickly and to think well is one that can be continually developed and refined over the course of the leader's career. In general terms, an effective strategy is composed of defining the problem, developing options and selecting a solution.

8. *Define the problem and find the facts.* It may seem that this phase of effective problem solving is self-evident. However, the difficulty may lie in the fact that what may look to be the problem is really a symptom of the problem. Knowing what the problem actually is requires careful analysis of a situation and the ability to think clearly and objectively.

The gathering of information for effective problem-solving means more than simply pulling together information when a problem presents itself. Effective problem-solving entails gathering information about one's environment and operating situation well in advance so that the leader is prepared for situations that may arise. In terms of effective CF leader performance, it means maximizing the knowledge of all aspects of the situation into which one is entering.

Fact-finding also entails an aggressive pursuit of information. If the leader does not get all of the required and salient information regarding a given problem, he or she is unlikely to find the appropriate solution. Here the leader can request information from superiors and peers who are looking at the problem from different perspectives. In addition, actively seeking feedback from followers is frequently an excellent way to gain greater appreciation of the issue at hand; after all, they are usually the ones who are dealing with the problem at the coal face and may have the most relevant information.

9. *Develop courses of action.* Effective thinkers, problem solvers and decision makers do not implement the first idea that comes to mind. Instead, they generate possible solutions based on the problem and the objective to be met. Depending on the circumstances, this generation of possible solutions may have to take place quickly with little consultation, or it may take place over a longer span of time and be a “brainstorming” process where followers, superiors, peers and subject matter experts are consulted. Regardless, effective leaders understand that the best solution is often reached after careful analysis. They are



Warrant Officer F. J. Ritchie, Canadian Forces Station Alert, Nunavut, 1991

Meritorious Service Medal Citation

On 30 October 1991, Warrant Officer Ritchie led an overland rescue party from Canadian Forces Station Alert to the crash site of a Hercules aircraft. In white-out conditions and total darkness, navigation was extremely difficult. The party was forced to return to their base after eight hours. After refuelling their vehicles and taking additional survival equipment, the team made a second attempt. After forty-eight hours of stress and fatigue, the mission was accomplished. Its success is attributable to the outstanding leadership, professional knowledge and perseverance of Warrant Officer Ritchie.

aware that there is a tendency to generate common solutions to problems and that creative thinking can be seriously hampered by reliance on familiar ways of doing things.

10. *Select a solution.* Once options have been generated, a comprehensive risk analysis must be performed to determine the optimum solution. A basic risk analysis can be conducted in four steps:
 - a. **Risk identification.** Identify the internal (to your organization) and external risks that could adversely affect your task;
 - b. **Risk quantification.** Evaluate each risk and determine how it could affect your task;

- c. **Risk response.** Determine and define how you would eliminate, minimize or mitigate/adapt to the risk to achieve mission success; and
- d. **Risk response control.** Respond to risks or changes in risks as they are encountered during the task. Effective decision makers are thorough in this phase of problem solving and able to think rationally not only about the impacts of their decisions in the near term but also about the impacts in the longer term and the effects on other groups, systems or policies (that is, collateral effects).

The above steps must often take place very quickly. Further, it is an unfortunate truth that the more stressful or time dependent a given situation is, the greater reliance individuals will place on the familiar. Fear, fatigue, ambiguity and danger create stressful situations, and it is precisely these situations for which leaders must prepare; they must not be lulled into a sense that routine preparation is sufficient for all situations. Leaders should never become complacent, nor should they allow their followers to become complacent. For this reason, leaders must constantly develop and nurture their own ability to think quickly and critically. Canadian Forces leaders have to hone this area of thinking creatively and innovatively. It is the hallmark of an effective professional.

In the end, all leaders must realize that once a decision has been taken, they remain fully accountable for their decisions and the consequences thereof. Regardless of advice given, or taken, the leader, as the final decision maker, is completely responsible for the action taken and for its impact.

Stage 4 — Monitoring and Adjusting Performance to Achieve Mission Success

In this phase of the cycle, leaders adapt to unforeseen circumstances (that is, uncertainty and friction, the fog of war), assist followers individually or as a group to accomplish the task, and measure their own leadership effectiveness. In the latter case, remember that there are three distinct qualitative outcomes of leadership actions on the group:

- *Commitment.* Commitment describes an outcome in which the followers internally agree with the leader's decision and course of action. They consequently make great effort to carry out that decision. Followers are influenced (motivated and enabled) to accomplish the mission because they know it is the right thing to do according to their own values and beliefs;
- *Resistance.* Resistance describes an outcome in which the followers are opposed to completing the mission and actively try to avoid carrying it out. Resistance probably follows from a more serious disconnect between the leader and the followers, such as discipline problems in the group, an abuse of power on the part of the leader, a lack of trust in the leader, or the use of influence tactics and leader actions that deviate from the military ethos. Effective leaders will honestly and objectively identify these issues and rectify the problem(s).

Clearly, effective leadership aims toward commitment. This means creating and maintaining a leadership climate in which the leader has established a high level of competency, authority and trust (the level of personal power is high); morale within the group is high; the group is easily adaptable to external change; and the group is cohesive, with each member possessing a high degree of will to do his or her part.





The monitoring phase is accomplished by:

- *First-hand observation.* Leaders, whenever possible, are present where the action is. They do not need to rely on second-hand or indirect accounts, which frequently are incomplete or even wrong. Remember, it is difficult to lead by example if you cannot be seen;
 - *Supervision but not micromanagement.* There will be occasions when leaders will need to go beyond observation and actively intervene to adjust the manner in which tasks are being
- accomplished. For instance, leaders may have to provide a demonstration to assist followers in achieving the desired behaviour or skills (for example, safety, inspections, correction of training and skills). They must not hesitate when it is deemed necessary; however, at the same time they must not micromanage. Over-supervision dulls initiative and can create the impression that leaders do not have confidence in their followers. Leaders must be aware that their idea of “when it is deemed necessary” may be more frequent than that of the followers, and they must either issue specific reporting instructions or be prepared to be patient. Any instructions should bear in mind the requirement, stated above, to supervise without micromanaging;
 - *Situational awareness.* This means that leaders are aware of what is going on around them. They are able to anticipate changes in circumstances that require them to adjust or go to the aid of other leaders and teams whose difficulties are jeopardizing the superior commander’s intent. Situational awareness is important for effective decision-making and performance in any complex and dynamic environment. An individual’s understanding and classification of the situation forms the basis for all subsequent decision-making and performance. Even the best-trained people will perform poorly if their situational awareness is faulty;
 - *Status reports.* An effective way to monitor progress is to judiciously ask for status reports that provide information on successes, problems and the requirement for additional resources. These reports can be required according to a pre-set schedule or simply by the leader encouraging followers to submit such reports as they deem necessary;

- *Intermediate milestone.* This is a particular type of status report announcing the accomplishment of specific tasks on the road to mission success. An example in garrison or ashore would be the completion of in-briefings for all personnel prior to the commencement of a training exercise. Tactically, an example would be the completion of the transportation and movement plan before commencement of the delivery of humanitarian aid;
- “*Hot-Wash.*” This is the immediate gathering of followers after the completion of a task or mission in order to constructively and informally analyse how the job went. A hot-wash is done while events are fresh in everyone’s minds. What went right; as well as what went wrong, is identified. Ideas about how to improve in the future are freely shared. Leaders must carefully avoid two dangers here: first, self-congratulatory accounts that mask important deficiencies and, second, the creation of an impression that leaders are looking for someone or something to blame; and
- *After-Action Report.* The After-Action Report (AAR) is a more formal assessment of a completed action, drafted with due reflection and after all the facts have been assembled, which may not have been possible in the immediate aftermath of an operation. After-action reports are mandatory after all complex missions, be they operational or non-operational. The whole AAR approach is now being integrated into CF doctrine in terms of a lessons-learned methodology.

Not only does the leader actually accomplish the task with the help of this task cycle, but each task cycle works as a learning trial for both leaders and followers. In addition to becoming more

proficient in executing the task cycle, leaders learn about the capabilities of their followers as they interact. They develop expectations about the way in which subordinates are likely to respond to particular conditions in the future. Thus, leaders learn invaluable information about how they should modify their own behaviour accordingly.

Similarly, followers develop stable expectations about the way in which the leader is likely to behave in different situations; therefore, they are better able to understand and interpret the leader’s intent. They also learn about the leader’s competencies.

The bottom line is that an effective leader thinks about what needs to be done, formulates a way to do it, works through contingencies, takes into account available resources, assigns tasks appropriately and then monitors until completion.

THE LEADER-FOLLOWER-SITUATION FRAMEWORK

Leadership is also situationally dependent. It is not always the knowledge, skill or ability of followers that determines the best type or style of leadership to be employed. Sometimes it is the situation that is the dominant determinant, and effective leaders understand the complex interplay among the leader, the follower and the situation.

What makes military leadership especially difficult and challenging is the requirement for military teams and units to operate in complex environments and deal with extreme, variable or unpredictable conditions. Thus, the leadership style chosen to employ on base could be very different from that chosen to employ in theatre or in a crisis situation. In other words, given that CF leadership is about directing, motivating and

enabling followers, the situation, rather than only the follower, may determine which of these behaviours is most appropriate. Simply put, the effective leader understands that there is a time to direct, a time to motivate and a time to enable. It is important that the leader get it right. Leaders must be able and ready to adapt leadership styles as appropriate and required.

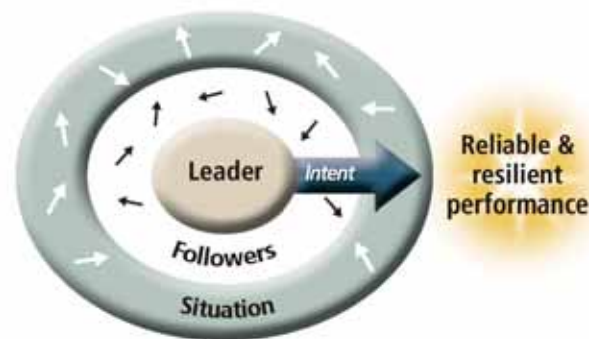
Effective leadership is not a passive endeavour. As illustrated in Figure 4.3, it is a dynamic interchange among the leader, the followers and the situation. The followers and the situation influence leader behaviour, and the leader in turn influences both directly and indirectly the situation and the followers. Effective leadership, which takes into account the variables and influence of the situation and the followers, is a major determinant of the leader's ability to develop reliable

and resilient teams — a virtual necessity for effective performance in a military context. These teams and individuals are able to withstand crisis and stress; they are resilient. They are cohesive, proactive and reliable; they think clearly and are able to respond to the unexpected. In short, they are true professionals.

Within the Leader-Follower-Situation Framework there are six general ways in which leaders can achieve reliable and resilient performance and thereby influence the professional accomplishment of missions and tasks:

- Focus on achieving the mission;
- Instil the military ethos to ensure high standards of professionalism and self-discipline;
- Develop the individual and team capabilities that ensure reliable and proficient task performance;

Figure 4.3 Leader-Follower-Situation Framework



- Build individual and team resilience by developing the various individual and team capabilities that allow rapid adaptation to unexpected conditions, or recovery from setbacks;
- Shape unit and situational conditions to facilitate or enhance task performance; and
- Effectively employ individual and team capabilities to accomplish the mission, while correcting or compensating for any deficiencies that might constrain performance.
- Procuring and/or allocating the resources, supplies and equipment needed for an operation;
- Communicating clear objectives, standards and role expectations to followers;
- Inspiring commitment by explaining why an activity is right and important, building achievement motivation, leading by example, and sharing risks and hardships;
- Empowering followers to perform their responsibilities, by delegating authority, expressing confidence and showing trust;
- Preparing for an operation by conducting intensive training and rehearsals under realistic conditions;
- Developing followers' skills and confidence by providing constructive feedback, coaching and mentoring;
- Keeping people informed in a timely way about events or decisions that affect them;
- Developing teamwork and identification with the team or unit;
- Being supportive and showing genuine concern for the needs and concerns of followers; and
- Developing networks of contacts to obtain information, resources, assistance and organizational support for innovation.

ACHIEVING MISSION SUCCESS

The last two chapters have been about achieving mission success. Chapter 3 summarized the basic concepts and theories supporting the CF leadership doctrine for leading people. Chapter 4 provided a practical methodology — the Task Cycle — to assist leaders in the accomplishment of their tasks. A helpful synthesis of these two chapters — theory and practice — results in the following twelve activities that contribute to a leader's ability to achieve mission success.

- Taking the initiative in making difficult decisions and dealing with problems;
- Planning and organizing the activities to accomplish a mission effectively;

Summary

- Professional Competence: Effective leaders know that they must strive to master the skills, techniques, attitudes and knowledge relevant to their position. They increase their professional competence through self-study, reading relevant professional publications, taking courses offered by various colleges and universities, and by objectively analyzing their own experience to determine where they might improve their performance the next time.
- Task Cycle
 - Analyze the requirement – think clearly, critically and logically;
 - Formulate the intent and the plan – who, what, when, where, why and sometimes how;
 - Lead and implement – direct, motivate and enable; and
 - Monitor and adjust performance.
- Leader-Follower-Situation Framework: Leadership is situationally dependent. Sometimes it is the situation that is the dominant determinant, and effective leaders understand the complex interplay among the leader, the followers and the situation.
- Achievement of Mission Success by:
 - Taking the initiative in making difficult decisions and dealing with problems;
 - Planning and organizing the activities to accomplish a mission effectively;
 - Procuring and/or allocating the resources, supplies and equipment needed for an operation;
 - Communicating clear objectives, standards and role expectations to followers;
 - Inspiring commitment by explaining why an activity is right and important, building achievement motivation, leading by example, and sharing risks and hardships;
 - Empowering followers to perform their responsibilities, by delegating authority, expressing confidence and showing trust;
 - Preparing for an operation by conducting intensive training and rehearsals under realistic conditions;
 - Developing followers' skills and confidence by providing constructive feedback, coaching and mentoring;
 - Keeping people informed in a timely way about events or decisions that affect them;
 - Developing teamwork and identification with the team or unit;
 - Being supportive and showing genuine concern for the needs and concerns of followers; and
 - Developing networks of contacts to obtain information, resources, assistance and organizational support for innovation.



Looking After Your People 5

CHAPTER

A Comprehensive Approach to Looking After Your People	56
Summary	66

A Comprehensive Approach to Looking After Your People

Any approach to leadership must be comprehensive and signify a genuine concern and respect for people and the quality of their conditions of service. This includes everything from the effects of organizational policies and practices to opportunities for personal growth and development, from fair treatment by peers and superiors to the intrinsic satisfaction of an occupation and career. It comes down to treating people as you yourself would like to be treated. They are not just tools to accomplish a mission. Looking after your people involves taking care of their physical, intellectual and emotional well-being prior, during and after operations, whether domestic or overseas.

Physical Plane

At its most basic, the physical requirement simply means ensuring that followers are properly fed, clothed and sheltered. In the modern Canadian Forces this is not usually difficult in a garrison, ship or squadron environment. However, during deployment for training or operations it can be much more difficult. When training, leaders may neglect these basic requirements in pursuit of difficult, time-constrained training goals. This is permissible for short periods and may even be part of a given program; however, it will certainly be counterproductive over the longer term. On operations, leaders and their followers face not only weather and other arduous physical conditions, but also adversaries intent on their disruption or destruction. Greater effort and special preparations are necessary in these situations, even to provide the most basic support to followers.

Beyond the basics, leaders must attend to their followers' personal, medical and dental needs. Again, on base this is not usually a problem;

nonetheless, leaders have to ensure that their followers know what is available, when and how. With young and/or inexperienced followers, who may neglect their own welfare, leaders have to monitor the situation carefully. Also, emotional problems often manifest initially through neglect of medical well-being. On operations leaders must know the medical system in detail, exercise its use and have a plan for quick and efficient access to medical and dental care for casualties.

It is not enough for leaders to ensure that followers are aware of the resources available. When a situation arises, the leader must ensure that the subordinate not only is directed towards the agency but actually receives the support. Follow-up investigation by the leader must be conducted to ensure that the subordinate's problem either has been remedied or is being remedied with follow-on, prescribed solutions. Leaders cannot assume that because the subordinate was directed to or sought help from an organization, the situation has been solved.

Leaders must insist upon meeting the primary physical need — fitness. In the first instance, physical fitness contributes directly to the overall health and welfare of subordinates. Second, all training benefits from fitness, and some of the most important and difficult training cannot be done without it. Operations, in any environment (sea, land or air), demand the highest levels of fitness. Failure to accomplish any task or the mission itself due to followers being unfit is inexcusable. It goes without saying that, as with everything else, leaders lead by example. Leaders ensure that they achieve and maintain the highest standards of physical fitness. Beyond that, they realize that effective fitness programs

are sophisticated and somewhat complex. They must familiarize themselves with the science of fitness and actively seek advice from subject matter experts.

Fitness builds self-confidence and is also a primary stress manager both on base and on training or operations. Meeting the emotional needs of followers begins with ensuring their physical fitness. Finally, collective physical fitness activities allow leaders and followers to get to know one another. Additionally, these activities build cohesion, enhance morale, encourage competitive spirit, facilitate teamwork and instil the will to win.



Major N. Tabbenor, Operation APOLLO, Afghanistan, 2001

Suddenly I became involved in all sorts of stress and relationship issues. Family matters (and there were several) that would have sorted themselves out at home eventually ended up on my docket. Even under the best of circumstances, family problems can be debilitating to the member; at such a distance they can easily cause the member great harm and, if left unchecked, ultimately affect the operation. In most cases, my role was to be the one of social worker. I listened, I offered help wherever possible and I ensured the member was closely supervised.

In the end, all the physical requirements of followers need to be addressed. Looking after subordinates includes ensuring they understand that their leaders, up to the highest level, are fully committed to doing the absolute best (1) to get the support the followers need in order to achieve mission success and, (2) to look after their well-being.

Intellectual Plane

In the complex and ambiguous battlespace of today and tomorrow, military professionals are involved in operations that span a broad spectrum of activities, from humanitarian assistance to peace-keeping and peace-support operations to war fighting. Often, these activities often occur simultaneously. This places challenges on the intellectual capacities of the participants.

Leaders understand that intellectual needs encompass all dimensions of professional development: training, education, experience and self-development.

Training

While it is true that training develops predictable reactions by followers to predictable situations, as opposed to education, which develops critical thinking in the face of the unknown, often a predictable response is precisely what is needed. Many tasks are accomplished most effectively and efficiently when the necessary skills and techniques have been ingrained in the individual. Equally important, in times of crisis and danger, followers must sometimes react in a manner that is virtually instinctive. All members of the team must know that this will be the case with their comrades as well. Training, therefore, is extremely important. It must be regular, consistent and realistic. Training must be rigorous and under circumstances that are as close as possible to expected operational conditions. Performance-oriented skill training only provides individuals with the basic know-how to perform a skill properly. Group-level training provides them with the extensive practice necessary to perfect skills, develop team protocols and achieve an operational level of proficiency.

Education

With the conditions leaders face today both on the base and in the battlespace, training alone is insufficient. Followers require in-depth knowledge of many complex subjects. They must have a highly developed cognitive capacity as well as interpersonal and change capacities. Finally,

followers must fully understand and apply the military ethos. All of these elements of professional development require education for their achievement.

Education is acquired on courses in the CF and through external sources. However, education is not synonymous with the classroom and credentials such as diplomas and degrees; it is an intellectual process involving the development of the ability to think critically, which can be achieved anywhere. Leaders at all levels include the educational component of professional development in as many team, group and unit activities as possible. Leaders must ensure that

followers' educational requirements are identified and provided. In this regard, leaders seek the views of followers as well as the requirements of the service. Leaders develop an education plan for their followers that supplements and complements their training plan. In addition to specialized education relating to military occupation classifications, broader educational objectives need to be set that provide access to the common body of knowledge of the profession. Beyond such subjects as Canadian military history, this includes leadership theory, management theory, the importance and role of military forces, civil military relations, military professionalism, communications, cultural awareness, and ethics.



Experience

Beyond training and education, the intellectual development of followers is developed through experience. Leaders ensure that followers receive a variety of experiences designed to reinforce their training and increase their knowledge, self-confidence, thinking ability and interpersonal skills. Diverse experiences also assist the follower in understanding and coping with change and other unfamiliar situations. In larger organizations, such as units, formations and large Headquarters, leaders are involved more formally in succession planning to assist followers in gaining the right experience for career progression. At the CF level the personnel management system overall is meant to support this experiential component of professional development.



Self-development

The intellectual development of followers is enhanced through self-development. Leaders not only encourage this effort but actively assist their followers to pursue their own self-development programs.

Emotional Plane

In order to take care of followers, leaders have to know their people and to some extent their people's families. This can sometimes give additional insight into any personal problems that may arise. In order to achieve this insight, leaders have to see their followers in all types of activities, actively listen to them and speak to them. In essence,

leaders must observe them in the performance of their duties as well as their off-duty activities (for example, sports and social gatherings). Leaders engage in formal and informal conversations and discussions. Formal discussions normally take the form of regular interviews (that is, both initial and periodic). These interviews should be based on a clear agenda that is transparent and constructive. Informal conversations can take place at any time or location and provide opportunities for constructive criticism, correcting inappropriate behaviour, complimenting performance or just getting to know the individual better. In addition and importantly, the leader must impart to followers that their call to duty as military professionals at all times is right and important.

Facilitate the resolution of interpersonal conflict

Leaders, in the process of getting to know their subordinates, will inevitably encounter interpersonal conflict situations. Canadian Forces teams are made up of individuals who have different personal values, attitudes and behaviours. Ideally these differences are a major contributor to the overall strength of the team. Diversity is a source of strength that enhances the richness of the team by bringing together a variety of experiences, skills, attitudes and knowledge. It is important to identify the unique value and contribution of every team member.

Some individuals, however, cause problems. They may ignore the rules, disobey orders and even break the code of service discipline. This kind of breach of discipline is completely unacceptable. The problem may not be serious, but individuals may still exert a negative influence

Chief Warrant Officer T. J. Secretan, Operation KINETIC, Kosovo, 1999

We in the Air Force pay lip service to fitness. We continually find excuses to avoid implementing a unit fitness plan. During my deployment to Kosovo it was evident that those members of the unit who had a fitness program back in Canada were better equipped to endure the long hours in 40+° C heat. I have been a long-time believer in physical fitness, and even though it may seem like a waste of sea container space, we did bring a small amount of fitness equipment with us. Once we had settled into a steady routine, everyone in camp was encouraged to maintain or improve his or her fitness. The gym was in use 24/7.

on the overall team, and the leader will have to deal with the issue. This may entail either dealing directly with team members who exhibit interpersonal problems or addressing the underlying cause. Such challenges include individuals who fail to adapt to the team norms, who are persistently negative or overly critical, deliberately undermining leadership, or who are marginalizing other team members.

Leaders cannot ignore these types of individuals in the hope that the situation will resolve itself. This rarely happens; more often, the behaviour continues and causes further problems. These problems will tend to undermine the leadership, morale and cohesion of the team and can have an adverse impact on the achievement of the mission. At a fundamental level, it also means that leaders are not taking care of their troops, because the rest of their teams are paying the price for inaction. The bottom line is that leaders are responsible for dealing with individuals who violate rules, shirk their duties or have a negative effect on others.

Followers are accountable and responsible for treating others with respect, for acting in a manner that does not diminish cohesion and for behaving in a way that reflects the military ethos. Just as technical competence is not enough for the leader, it is not enough for the follower. Getting along with other team members and furthering overall team goals are all part of effective follower performance. If this is not happening, then the leader has the responsibility to counsel individuals accordingly; if the behaviours are not corrected, then the leader has to take further action.

Following are some guidelines for dealing with difficult followers:

- Identify the real problem. Get all the facts;
- Immediately deal with the problem. Do not allow the situation to linger;
- In cases of indiscipline, charge the individual under the *National Defence Act* and/or invoke administrative actions. If you do not possess the necessary authority, report the infraction to a superior who has the required authority to deal with the situation;
- When counselling an individual, talk about the behaviour, not the person. Talking about behaviour is easier for the individual to handle. Do not criticize the individual; criticize the behaviour he or she is exhibiting;
- Be clear, direct and honest in identifying specific shortcomings;
- Identify specific examples;
- Clearly describe the desired behaviour;
- Clearly identify the consequences of continued shortcomings. They might include loss of privileges, reference to alternate dispute-resolution processes, and referral to professional counselors, both military and civilian;
- Stay involved, actively set-up appointments, and consult with outside assistance on an ongoing basis. Obtain feedback; close the loop; and
- Always follow up. Do the necessary paperwork. Do not pass the problem to someone else; deal with it yourself.

Treat followers fairly

Followers expect to be treated fairly. Sometimes this means treating all followers equally. Sometimes it means treating followers equitably, rewarding one or a few for outstanding performance. In this latter case, followers will understand, for example, that an individual has been nominated for an award or medal for bravery or for service above and beyond the call of duty. Similarly, higher scores on performance reports are understood to result from conspicuously superior performance. Leaders must be aware that followers react quickly to situations in which they perceive unequal treatment or inequities.

An effective leader must constantly strive to maintain an appropriate balance between treating followers equally and treating them equitably. However, because trust and cohesion are critical requirements of effective CF teams, CF leaders should generally treat their subordinates equally; that is, on a day-to-day basis leaders should not overtly favour certain followers over others. Nonetheless, all members will be quick to note if deserving individuals are not rewarded. An important aspect of distributive justice (referring to the quantity of rewards and benefits that a leader distributes to people) is that individuals who need the most should receive the most. On strong teams, when a deserving individual is in need, other group members will suspend the rule of equity. For example, if an individual is experiencing family difficulties, the group not only would condone treating him or her specially but would expect it.

Master Warrant Officer T. J. P. Mugford, Operation ATHENA, Afghanistan, 2003

How do you deal with the day-to-day concerns of and requests from individuals, and even units, within the camp for comfort and quality-of-life issues and items when the priority must be on force protection over comfort of the troops? Too many of our troops, and even units for the most part, felt that permanent accommodations and quality-of-life issues were of the utmost importance and a priority, as opposed to the force protection, camp defence, and security issues and priorities directed by the Commander. On many occasions, unit reps would refer to Bosnia and the quality of life there and use it as a means of substantiating their requests. Subsequently and unfortunately during the initial part of the tour, the mission itself was misunderstood by far too many. I elected to send electronic and written reminders (RO entries) on a regular basis, and at every weekly Camp Sergeant Major conference I re-emphasized the Commander's intent. I also frequently inspected the areas of the camp that still required defence construction, and prioritized that work with the contractors.

The message was unfortunately finally driven home with the first rocket attack on the camp, and from that point forward, security and force protection were no longer issues or open for discussion. A serious lesson was finally learned and accepted by one and all.

It is important and essential not only that the leader's decisions appear to be just, but also that the leader's method for reaching these decisions is seen to be just and fair. Perceptions of fairness are greatly influenced by the process involved. Followers need to know that decisions are not arbitrary. Leaders must, therefore, clearly communicate with followers and listen to their concerns. When the leader is making decisions that will affect them, followers should be consulted and given input to the process.

A leader has tremendous influence and control over the working climate of a team. Even minor transgressions of justice can have significant adverse results. Canadian Forces leaders understand that their followers expect just treatment. Punishment must fit the crime. In addition, indiscretions or disciplinary incidents should not be unduly held against an individual once

they have been addressed. Similarly, rewards must be appropriate to the achievement. "Taking care of people" is a fundamental CF tenet, and when leaders fail to do so, their lapses are perceived to be much worse than such lapses in an organization that does not state categorically that follower well-being is a value and a priority.

Even minor discrepancies of fairness and justice can significantly affect a follower's motivation and overall well-being. Further, because of the nature of CF members' duties, this expectation of fair treatment extends to members' families. Canadian Forces members expect that priority will be given not only their own welfare, but also their families' welfare. This expectation is not unreasonable given what the Canadian Forces asks of its members, and the CF leader must, therefore, at all times strive to meet the expectations of his or her followers in this regard.

Recognize and reward success

Recognizing and rewarding success sends a clear signal about the behaviour that is desired and expected. Leaders should, as a general rule, praise in public and reproach in private. Leaders always achieve more from their followers through positive motivators, as opposed to negative sanctions. In a very real sense, the behaviour that is rewarded defines success. In basic terms, leaders use rewards to reinforce desired behaviour and to demonstrate

to both the individual and the group at large the definition of effective performance. However, rewards should be limited to behaviour that warrants them; for example, just doing the job is not enough to justify special recognition.

In terms of successful performance it is essential that the leader separate the jobs that people do, or the tasks that individuals perform, into two distinct areas. The first is the task itself. Was the



actual task completed? The second is the way in which the person completed the task. Both components are very important. In the first case, the issue is about motivating people, and in the second, it is about shaping the behaviour of people. Completing the task is not enough; the task must be completed in a manner that reflects the ethos of the CF.

Thus, effective leaders know that the purpose of rewards is twofold:

- To increase or sustain performance; and
- To demonstrate to the entire group what successful performance looks like.

Appropriate rewards generally fall into two categories:

- Consumable, such as time off, financial incentives and special leave, and
- Social, such as verbal praise, letters of appreciation, commendations and medals.

Some rewards can be both consumable and social. For instance, an accelerated promotion from private to corporal is consumable because it carries a pay raise, and social because it is a visible increase in rank that is normally accompanied by a ceremony. Those rewards that contain both consumable components and social components tend to be very effective and powerful motivators. Significantly, of the two, social reward mechanisms tend to be the most powerful and effective across a range of situations. A “thank you,” “well done” or “Bravo Zulu” is a powerful tool that effective leaders use on a continuous basis. Not surprisingly, successful transformational leaders use these behaviours extensively.

Finally, effective leaders must make the time to give awards and motivate followers. They must give credit where credit is due. Leaders who take credit for the achievements of their subordinates will undoubtedly lose credibility and respect in the eyes of their followers, peers and superiors. Too often leaders get caught up in the tyranny of day-to-day business; they focus on reacting to the immediacy of the tasks that confront them and fail to exert the effort required to properly address the needs of their followers. Performing effectively as CF leaders means lifting up their heads from the current workload and making a conscious effort to determine what each follower needs in terms of encouragement. It is an unfortunate truth that too often it is the good performers who do not get a fair share of the leader’s time — the members who do their job well, day in and day out, and who are reliable and trustworthy. These are the people who are neglected when time and resources are stretched. The effort may only take a minute. It may be as simple as walking down the hall or the hangar or through the ship and stopping to speak to someone and asking how he or she is doing. It may take more effort, but that does not matter. The leader’s team members, individually and collectively, deserve the time and attention.

Summary

- The Comprehensive Approach: Looking after your people's well-being involves looking after their physical, intellectual and emotional health.
- Facilitate the resolution of interpersonal conflict. Guidelines for dealing with difficult subordinates:
 - Deal with the problem. Do not allow the situation to linger;
 - In cases of indiscipline, charge the individual under the *National Defence Act*. If you do not possess this authority, report the infraction to a superior who is authorized to take this action;
 - When counselling an individual, talk about the behaviour, not the person. Talking about behaviour is easier for the individual to handle. Don't criticize the individual; criticize the behaviour he or she is exhibiting;
 - Be clear, direct and honest in identifying specific shortcomings;
 - Identify specific examples;
 - Clearly describe desired behaviour;
 - Clearly identify the next steps if the behaviour is not corrected. These steps can include loss of privileges, reference to alternate dispute-resolution processes, and referral to professional counsellors, both military and civilian;
 - Stay involved, actively set up appointments, and consult with outside assistance on an ongoing basis; and
 - Always follow up.
- Treat followers fairly.
 - Distributive Justice: refers to the quantity of rewards and benefits that you distribute to people; and
 - Procedural Justice: refers to the ways in which you determine how rewards and benefits are assigned to people.

Consideration of both the distributive aspects and the procedural aspects of justice in your unit will help ensure that everyone is treated fairly and ethically.

- Recognize and reward success. Effective leaders know that the purpose of rewards is twofold:
 - To increase or sustain performance; and
 - To demonstrate to the entire group what successful performance looks like.
- Appropriate rewards generally fall into two categories:
 - Consumable, such as time off, financial incentives and special leave; and
 - Social, such as verbal praise, letters of appreciation, commendations and medals.



Building Effective Teams

6

Effective Teams	68
Team Development	68
Building Trust	70
Maintaining Trust	71
Building Teamwork and Cohesion	72
Followerhip	76
Summary	78

CHAPTER

Effective Teams

It has become almost a tenet of military doctrine that teamwork is key to the success of any mission. A “team” can be described as a group whose members share a common sense of purpose, are committed to the success of the team over their own individual successes, and share a high mutual trust and accountability. Teamwork enables a group to respond rapidly and more easily to the complex, dynamic situations that are becoming the norm in the modern world. Further, being part of a team generally results in higher motivation for the more educated CF members of today, who are thereby offered the opportunity to have a greater influence on the organization to which they belong.

The following attributes characterize an effective team:

- Understanding of, mutual agreement on, and identification with, the primary task;
- Open communication among all team members;
- Mutual trust among all team members;
- Mutual support and well-developed group skills (so that any differences can be managed effectively), thus creating a comfortable atmosphere about the team;
- An agreed means of decision making that allows all team members to support the decision ultimately reached;
- Appropriate exercise and distribution of leadership; and
- Appropriate and complementary member skills.

A central element of team building is the enhancement of these attributes within the team.

TEAM DEVELOPMENT

A true team does not emerge as a matter of course. The ability to turn a work group into a team and to enhance the effective functioning of such a team is an important role for a leader.

Research has shown that establishing trust and acceptance, agreeing on goals, procedures and timing, and facilitating the exchange of information are central to the transition from a “collection of individuals” to an effective group and ultimately a team. This is accomplished in a number of more or less discrete steps, often described as “forming,” “storming,” “norming,” “performing” and “adjourning.” With the exception of the “adjourning” stage, during which the group is preparing to disband, these steps are discussed in more detail in the next paragraphs.

Forming

The forming stage begins as the group first assembles. Although ideally the group would be composed of volunteers, in a military situation



the members are generally assigned. At this point the “group” is really only a collection of individuals. There is a great deal of uncertainty on the part of the members about their own roles, tasks, status and acceptance and about the group’s purpose, structure, leadership, processes and capabilities. Members avoid expressing opinions, particularly negative ones, and rely on the leader for direction. Communication at this stage is poor, with more talking than listening and only superficial discussion of issues. Group members may be unclear on the exact group goal.

Storming

The storming stage is characterized by intra-group conflict, power struggles, and members resisting constraints on their individuality. Members try to gain influence, forming coalitions for that purpose, make judgments on each other’s capabilities, and make individual value judgments on opinions offered. At this stage, group performance may actually be worse than it was during the previous stage. To set the scene for the building of mutual trust, group members may need to revise their general assumptions about others and change their behaviour if it does not align with what the group needs. Their ability to do so will significantly affect the success or failure of the group. As interpersonal conflicts are resolved, mutual trust will begin to emerge.

Norming

Norming is the stage in which the structure of the group is established and a standard of behaviour for the group, acceptable to all members, is clarified and accepted. With this out of the way, group members begin to focus their energies on being open and on encouraging each other, while group discussion strives to uncover “silent” issues and promote the full exploration of ideas. The group begins to function as an entity; a sense of “we-ness” emerges, and members begin to support one another.

Performing

By the performing stage the group is fully functional and its energy is focused on the group’s task rather than on the group’s development. There is open discussion, differences of opinion are accepted, and ideas are challenged as a means of increasing creativity. The difference between a group and a team surfaces at this point: groups

only get on with the task, while teams proceed in parallel to deepen the interpersonal relationships of their members, leading to the development of a sense of mutual accountability and an atmosphere of trust.

BUILDING TRUST

Effective teams depend on an atmosphere of trust — trust in peers and subordinates and, above all, trust in the leader. This trust is positively related to individual and group performance, to persistence in the face of adversity, to the ability

to withstand stress, to job satisfaction, and to commitment to continued service. A climate of trust between the leader and those led is also positively related to qualities such as conscientiousness, fair play and co-operation. Whether trust is based mainly on a leader's demonstrated competence, a leader's obvious care and consideration for others, or the perceptions of a leader's character (integrity, dependability, consistency, loyalty, openness 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 followers, peers and superiors.

Leaders build trust by:

- demonstrating high levels of proficiency and professional competence in the performance of core functions, and taking advantage of opportunities to enhance their professional expertise and competence;
- exercising good judgment in decisions that affect others, and not exposing people to unnecessary risks;
- showing trust and confidence in their followers by giving them additional authority and involving them in decisions where circumstances allow;
- demonstrating concern for the well-being of their followers, representing their interests and ensuring they are supported and taken care of by the organization;
- showing consideration and respect for others, being polite, friendly and approachable, treating followers fairly (without favour or discrimination) and being consistent;

Captain G. W. Englesby, Pakistan, 1995

Meritorious Service Medal Citation

From April to July 1995, Captain Englesby was one of three Canadian Forces members to participate in a multinational climbing expedition with the Pakistan Army to Gasherbrum in Pakistan. When notified that a fellow climber was suffering from high altitude sickness, Capt Englesby was the first to volunteer to assist in the evacuation of the victim, despite the fact that it was nighttime and there was a severe storm. Led down the mountain by the team leader, Capt Englesby and another soldier descended with the stricken climber between them. After several hours of treacherous descent, made more difficult by the victim's worsening condition, they were able to rest and administer oxygen and additional medication to him. Capt Englesby's actions in the face of a life-threatening situation, and his selfless devotion to his teammates, demonstrated the highest standard of personal dedication and loyalty. He garnered respect and credit for both the Canadian Forces and Canada.



- being professional in bearing and conduct;
- maintaining high standards and honest and open communications;
- leading by example, sharing risks and hardships, and refusing to accept or take special privileges; walking the talk; and
- keeping their word and being counted upon to honour their obligations.

MAINTAINING TRUST

Building trust is an arduous, time-consuming process. Once gained, it must be jealously guarded, for it is easy to lose and difficult to regain. A single indiscretion on the part of a leader can lead to the loss of reputation and credibility. Following

are some guidelines to help leaders maintain the trust of their followers:

- *Demonstrate that you are not self-serving.* If followers see the leader using his or her position, using the followers themselves as tools, or using the organization to meet the leader's personal goals or career ambitions, the leader's credibility will be undermined. Careerism is easily recognized and is not acceptable;
- *Be a team player.* Leaders support their teams when they are under pressure. This does not mean that leaders do not acknowledge deficiencies and shortcomings. However, trusted leaders stand up for their people in an appropriate manner and in accordance with the military ethos;

- *Practise openness.* Keep people informed. Mistrust comes as much from what people do know as from what they do not know. Explain decisions and disclose all relevant information;
- *Be fair.* Before making decisions, examine how others will perceive things. Give credit where it is due, and be objective and impartial in evaluations;
- *Be transparent.* Share your thoughts with your team. Ensure the members are fully informed of all matters that concern them. A cold and unfeeling leader does not generate trust. One can be strong and human at the same time;
- *Show consistency in the basic values that guide your decision making.* Mistrust comes from not knowing what to expect. Let your values and beliefs consistently guide your decisions and actions; and
- *Maintain confidences.* People will inherently provide details and confidences about their personal lives. There is no surer way to lose an individual's trust than to betray this confidence.

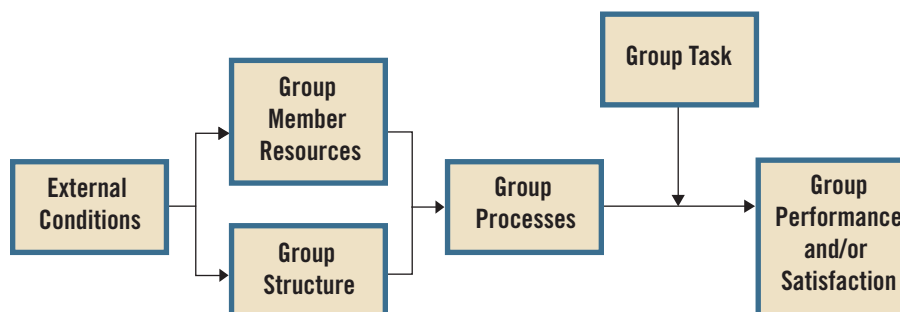
BUILDING TEAMWORK AND COHESION

Trust is the foundation upon which teams are built. The greater the bonds of trust the stronger will be the team's esprit de corps and effectiveness. Trust, however, is only one element of a strong, effective team; cohesiveness and teamwork are also needed. Effective leaders understand that although trust fuels cohesiveness and teamwork, leaders must also generate these traits in their followers.

A number of factors interact to influence the performance of groups and the satisfaction of their members, as shown in Figure 6.1.

- *External conditions.* The organization in which the group operates affects the group's performance in several ways, often by constraining its actions. The group's influence, resource allocation and freedom of action are dictated by the higher organization, and its culture reflects that of the parent organization;
- *Group member resources.* The abilities of individual group members set the boundaries of what the group can accomplish, while their personalities affect group cohesiveness;

Figure 6.1 Group Behaviour Model







- *Group structure.* There are a number of roles in a group setting that have a strong influence on group performance, through the attitudes, behaviours and expectations (of and by the individual) associated with those roles. Also, the group's norms (formal and informal), size, composition and status within the parent organization all affect its performance, as does the leadership approach adopted by the formal leader;
- *Group processes.* Group processes include communications patterns, leadership approach, decision processes, power dynamics, and conflict interaction and resolution. Synergy of efforts and skills can result in the output being greater than the sum of the parts, while "social loafing" by some members will detract from the output. The level of synergy is what distinguishes a team from a basic group;

- *Group task.* The nature of the group's task can modify the effect of other influencing factors such as structure, composition and processes. The more complex the task can be, the more effective the group; the challenge becomes a lever in team-building, with the high-performance team adapting its processes to suit the task; and
- *Group performance and satisfaction.* The above factors lead to some fairly self-evident conclusions on what can be done to improve the effectiveness of any group:
 - Assign appropriate tasks to the group or, conversely, adapt the group's skills and processes to the task;
 - Provide the necessary support: appropriate training, adequate information, challenging objectives, and proper rewards for achievement; and
 - Build group cohesiveness.

Leaders can generate teamwork and cohesiveness by applying the guidelines below:

- *A clear purpose.* Make sure that the group has clearly articulated, joint goals;
- *Participation.* Ensure that group members share information, ideas and knowledge and contribute to task completion;
- *Civilized disagreement.* Controlled disagreement (for example, a difference of opinions) is a natural occurrence and can have a positive impact on group dynamics. It can also have a very negative impact if it is not properly managed. Effective groups manage the disagreement and resolve the conflict. In the dialogue designed to resolve disagreement the leader allows everyone to have his or her say;

- *Open communications.* Promote group members' communicating openly and with trust;
- *Active listening.* Ensure that group members listen to each other, both to understand information and to help resolve interpersonal conflict;
- *Stifling rumours.* Rumours create confusion and can undermine the mission. They inevitably have a bad effect on morale. Rumours are dealt with by providing maximum, honest information in an atmosphere that encourages discussion and questions. Effective leaders maximize transparency in their actions and decisions;
- *Climate.* Set a comfortable atmosphere in which to work, an atmosphere that is free of derision and where each member feels valued;
- *A say in decision-making.* Allow members to express disagreement and to voice opinions in a respectful manner to superiors and the team. There needs to be a clear understanding that although solutions and ideas put forward by



Major N. Tabbenor, Operation APOLLO, Afghanistan, 2001

My technicians taught me to abandon preconceived notions and that anything can be accomplished given the right motivation. Their performance was simply outstanding. The results speak for themselves. From everyone and everything there is something to be learned.

team members may not be adopted, nonetheless their contributions are both valued and welcome;

- *Sharing experiences over time.* Collective experiences allow team members to learn each other's strengths and weaknesses and to maximize their combined efforts;
- *Sharing hardships over time.* Members learn to rely on comrades, trust their judgment, and bond with them;
- *Delegating leadership.* Delegate responsibility whenever circumstances permit in order to achieve greater buy-in and commitment commensurate with skills and experience;
- *Embracing diversity.* Identify and integrate the unique contribution of each member;
- *Understanding and following policies and procedures;*
- *Keeping superiors informed; and*
- *Being a good follower.*

FOLLOWERSHIP

The accomplishment of mission success is only possible when leaders have followers who are committed and supportive. Leaders and followers are equally important to the achievement of the team's vision and established tasks. While they remain true to the military ethos, the role of followers is to assist leaders in becoming more effective. Followers make things happen, and in the absence of the leader, exemplary followers can step in as the situation demands. By doing so they are able to enhance the continuing development of their own leadership skills, knowledge and attitudes.

Followers can be relied upon to complete routine and assigned tasks, maintain co-operative working relationships, share in various leadership functions, and support the development of present and future leaders. Effective followers assist the leader to fully realize his or her strengths and compensate for his or her weaknesses. When necessary, followers should provide constructive criticism to assist the leader. Competent followers are not afraid to enter into open, honest and frank (but respectful) discussions with their leader.

Followership Qualities

Followers will be most effective when they:

- *Know what is expected.* Followers must know their duties and responsibilities, their performance and behaviour standards, and their range of authority;

- *Establish and maintain contact with the leader.* This will minimize inconsistent or unclear messages;
- *Take initiative and keep the leader informed.* Followers take the initiative to solve problems that block the achievement of mission success;
- *Provide accurate information and feedback.* Followers provide their leader with clear, accurate and timely information that may affect the quality of his or her decisions, whether it be good or bad news;
- *Support change.* Inherently, most change initiatives are met with resistance. Followers must provide support and encouragement to the leader;
- *Support the team.* The follower must be an effective team player;
- *Provide alternate ideas and options.* Assist the leader in identifying weaknesses or deficiencies in a plan or decision. Provide timely ideas and options that assist the leader in his or her planning. Never make this a personal attack or critique of the leader's skills or ability;
- *Support decisions.* After providing input, and once a decision by the leader has been made, fully and loyally implement the decision (that is, do not undermine the decision);
- *Demonstrate appropriate recognition.* Acknowledge the contributions of team members and leaders; and
- *Challenge orders or direction when necessary.* There are only two instances when a follower challenges orders: first, when it is a manifestly unlawful command; second, when the follower believes the order is clearly unethical. In the latter case, followers must understand that they will be held fully accountable for their decision.

Summary

- Team-building is assisted by following the Four-Stage Model of Forming, Storming, Norming and Performing.
- Building Trust
 - Demonstrate high levels of proficiency and professional competence;
 - Exercise good judgment;
 - Show trust and confidence in your followers;
 - Demonstrate concern for the well-being of your followers;
 - Show consideration and respect for others;
 - Be professional in bearing and conduct;
 - Maintain high standards and honest and open communications;
 - Lead by example; and
 - Keep your word and honour your obligations.
- Maintaining Trust
 - Demonstrate that you are not self-serving;
 - Be a team player;
 - Practise openness. Keep people informed;
 - Be fair;
 - Be transparent;
 - Show consistency in the basic values that guide your decision making; and
 - Maintain confidences.
- Building Teamwork and Cohesion. To generate teamwork and cohesiveness in their followers, leaders must:
 - Articulate a clear purpose;
 - Ensure participation of the entire group;
 - Allow civilized disagreement;
 - Practise open communications;
 - Exercise active listening;
 - Stifle rumours;
 - Set a comfortable working climate;
 - Allow participation in decision making;
 - Share hardships and experiences over time with their subordinates;
 - Share leadership; delegate responsibility;
 - Embrace diversity;
 - Understand and follow policies and procedures;
 - Keep superiors informed; and
 - Be a good follower.
- Followership. Followers are most effective when they:
 - Know what is expected;
 - Establish and maintain contact with the leader;
 - Take initiative and keep the leader informed;
 - Provide accurate information and feedback;
 - Support change;
 - Support the team;
 - Provide alternate ideas and options;
 - Support decisions;
 - Demonstrate appropriate recognition; and
 - Challenge orders, when necessary. There are only two instances when the follower challenges orders: first, when it is a manifestly unlawful command; second, when the follower believes the order is clearly unethical. In the latter case, followers must understand that they will be held fully accountable for their decision.



Adapting to External Change

7

Shaping the Future	80
Learning and Innovating	80
Situational Awareness	80
Supporting Innovation and Experimentation	81
Learning from Experience and Those Who Have Experience	82
Developing Effective External Relationships	85
Leadership Across Environments and with Other Organizations	86
Summary	90

CHAPTER

Shaping the Future

The Canadian Forces do not operate within a sterile, static environment. The world and societies are constantly evolving with threats, shifting geographical boundaries, and changes in technology. As a result, the CF must have the flexibility to anticipate and adjust as required. Adapting to the external environment means maintaining situational awareness and anticipating the future, supporting innovation and experimentation, learning from experience, developing effective relationships (for example, with society, government, government agencies, non-governmental organizations, and allies), and understanding new and emerging technologies. To enhance the ability to adapt to this environment, leaders at all levels must be learners and innovators.

LEARNING AND INNOVATING

As learners, leaders seek to understand the context of tasks and assignments. They keep informed and up to date on the bigger picture of what is happening around them. They draw on the knowledge of more experienced members and of followers in order to prepare their teams for both known scenarios and unpredictable contingencies. Periodically, for professional development, after exercises, operations and other activities they conduct reviews of lessons learned in order to improve operating procedures and practices.

As innovators, leaders embrace the CF's initiative to transform itself into a learning organization. Effective leaders adopt a philosophy of continuous improvement and are open to experimenting with technology, procedures and structures to strengthen team and unit capabilities. Consistent with this philosophy, they foster initiative, innovation and experiential learning in their followers.

SITUATIONAL AWARENESS

Situational awareness is the ability to identify, process and understand the critical elements of what is happening around you. In essence, it means that leaders are:

- continuously seeking, extracting and interpreting information from the external environment;
- integrating this information with previous knowledge in order to develop as accurate a mental picture of reality as possible;
- understanding the dynamics of the task environment; and
- using the information gathered to anticipate what is going to happen next.

Situational awareness is critical to mission success. Effective leaders must always have a good approximation of reality so that they can make timely, relevant and accurate plans and decisions to exercise influence in an opportune and appropriate way.

Sharing Your Situational Awareness with Followers

- Communicate clearly and precisely;
- Provide accurate and complete information to all team members regarding the aim and the mission; and
- Reassess and update the situation with your followers frequently as new information becomes available.

SUPPORTING INNOVATION AND EXPERIMENTATION

The key to creating a culture of innovation rests with the leader. To encourage innovation and creativity, leaders must create an atmosphere of trust. Followers must be encouraged to actively think

of methods and ways of improving operational effectiveness and mission success. Aids that are useful in most settings include techniques such as *reframing*—looking at a problem from different perspectives — and *group brainstorming*—the freewheeling production of ideas by group members. In this latter example, the brainstorming must be conducted without judgment and criticism.

Guidelines for supporting innovation include:

- *Tolerating failure.* In this case it is important for leaders to make clear that there is a difference between honest mistakes and negligence, indifference and laziness. Honest mistakes are accommodated; unprofessional attitudes and behaviour are censured;





- *Encourage risk-taking.* Risk implies choices contrasted with the randomness of danger. Risk derives from the Latin *riscare*, which means “to dare.” Choice implies a degree of freedom of action and judgment;
- *Encourage creative thought and use of technical innovation;*
- *Experiment and evaluate;*
- *Listen actively;*
- *Express confidence in followers and superiors — loyalty up and down; and*
- *Encourage lifelong learning.*

LEARNING FROM EXPERIENCE AND THOSE WHO HAVE EXPERIENCE

The tempo of operations and the pressures of difficult, time-sensitive work are often such that time to reflect and learn from experience can easily be neglected. Allowing this to happen in an organization like the CF is unacceptable. Openness to experience enhances a leader’s ability not only to take change in stride but also to learn from that experience and initiate purposeful change.

At all levels of functioning — both in training and in operations — teams, units and systems and the CF as a whole have to review with a critical eye what they have done, and what others have done,

in order to determine what worked and what did not work (by using, for example, the after-action review process).

If the CF is to reap the benefits of their experiences — both successes and failures — these experiences have to be routinely documented and analyzed, and their implications translated into necessary improvements and changes. A learning organization is one that allows itself to adapt to change. Learning organizations are defined by five attributes:

- Organizations can learn as much, if not more, from failures as from successes;
- Learning organizations reject the adage “If it ain’t broke, don’t fix it;”
- Learning organizations assume that those closest to the action or the activity often know more about what is going on than their superiors do;
- Learning organizations actively seek to move knowledge from one part of the team, unit or organization to another to ensure that relevant knowledge finds its way to those who most need it; and
- Learning organizations spend a lot of energy looking outside their own boundaries for knowledge.

Effective leaders constantly strive to create learning organization qualities within their team or unit. They continuously strive to improve the organization.

The CF must be constantly examining how it performs its roles and functions in order to ensure that it is meeting its mission in the most effective way possible. This is driven by constant

changes due to evolving techniques, policies and practices in administrative procedures, technology, equipment requirements and doctrine.

The ability to acquire new knowledge and bootstrap the necessary transformation of skills and behaviours can take many forms: from routine “hot washes,” after-action reviews, and lessons-learned drills to the more formal and rigorous processes of summary investigations, boards and commissions of inquiry, audits and other in-depth reviews, benchmarking comparisons and historical case studies. Regardless of the form taken, what leaders ultimately need to

Major T. Balasevicius, Operation PALLADIUM, Bosnia, 1992

As Army leaders who have served on peacekeeping and peacemaking operations during the 1990s, successful frontline commanders had to evolve their leadership style to meet the challenges of extremely complex and ambiguous missions. Moreover, they had to do so without the benefit of institutional training or the intellectual development that today’s military leaders receive. Although today’s leaders are much better prepared to face the uncertainties of modern conflict than their predecessors were, no amount of preparation will cover every possible eventuality that soldiers and their commanders will face in the dynamics that is human conflict. It is, therefore, important for leaders to be able to recognize and quickly adapt to changing and unfamiliar situations as a matter of routine if they are going to achieve mission success.

Lieutenant-Commander D. Thomas, Operation MARQUIS, Cambodia, 1992

During Operation MARQUIS — the United Nations Transitional Authority (UNTAC) in Cambodia, CF naval personnel demonstrated remarkable adaptability in enabling operations. Operations were meant to be conducted on internal waterways, as well as along the coast in the Gulf of Thailand, using Cambodian naval boats, which were largely broken down. Considerable adaptability on the part of naval engineers and technicians was required to assist and oversee extensive repairs and overhauls:

- Cables were procured through the United Nations for a marine railway in Sihanoukville so that landing craft and smaller patrol boats could be hauled from the water and repaired;
- A sinking dry dock was re-floated and repaired in order to commence hull work on the Russian Stenka-class fast patrol boats;
- Additional vessels were acquired through local negotiations since many of the Cambodian vessels were beyond repair within the given mandate; and
- Many practical arrangements were negotiated with local fishermen, village leaders and factional groups to get vessels underway, all in competition with hundreds of boats already on the water because neither trains nor roads were reliable immediately after the Cambodian conflicts of civil war and a Vietnamese invasion.

While the United Nations (UN) provided national contingents such as Army battalions and the logistics company with food and accommodations, UN naval observers were expected to be mobile. This called for a number of unusual domestic living conditions including:

- Having a teak house built next to the jetty where patrol boats were berthed;
- Living on a floating house or headquarters on Tonle Sap Lake;
- Keeping a python to cope with the rat problem; and
- Renting accommodation for groups of observers in the local economy, and hiring cooking, cleaning and security staff.

understand is that the CF has to be a learning organization in order to ensure high reliability performance and because the human costs of failing to learn from experience can be unacceptably great.

Whether leaders learn from the experiences of others or from their own experience is not important. What is essential is that they do learn.

Leaders must acknowledge that they will not always get it right, nor will their followers. Mistakes happen; it is a consequence of being human. What is important is how the leader responds and reacts to these occasional mistakes. Flexibility of thought and behaviour is the wellspring of resourcefulness and adaptability.

Guidelines for Effective Learning

- Understand the information you are getting from the surrounding environment and situation;
- Reflect on how the information can have an impact. Consult with peers, superiors and followers;
- Evaluate the information in relation to current experience and knowledge; and
- Think about how information and technology offer new ways to act.

DEVELOPING EFFECTIVE EXTERNAL RELATIONSHIPS

When people are being led at the tactical level, external relationships have both an internal component (for example, the Canadian Forces and



the Department of National Defence) and an external component (for example, non-governmental organizations, governmental agencies, and allies). Particularly at the junior level, leaders will have a tendency to view those outside their immediate chain of command as “external” entities. Nonetheless, they must be conscious that mission success may depend on effective working relationships with these individuals or organizations. Moreover, they must understand the roles and capabilities of those individuals or organizations. In essence, connectivity with other teams and units is of critical importance in the profession of arms. Canadian Forces leaders are expected to develop and maintain effective working relationships with other units and teams. Indeed, not doing so can easily jeopardize the chances of mission success. The profession of arms is a team in the truest sense. In no other profession is it so critical that all parts of the whole understand what each part does and how the supporting structure holds together.

Establishing these linkages means communicating often and communicating well. It means treating other teams and units with respect. It means active co-ordination and a concerted effort directed outwards. It means understanding where and what the other teams and units do and how that fits in with what the leader does.

Guidelines for Developing Effective External Relationships

- Identify key players;
- Go and meet people; establish a network;
- Take the time to explain the roles and capabilities of your team or organization to others;



- Take the time to understand other teams' mandates and capabilities (and command relationship);
- Develop professional relationships with peers, colleagues and external counterparts;
- Be willing to assist others;
- Ensure that the assistance received from others is reciprocated and acknowledged; and
- Keep superiors and colleagues informed of activities.

LEADERSHIP ACROSS ENVIRONMENTS AND WITH OTHER ORGANIZATIONS

Leadership Styles

Leaders must be aware that leadership styles tend to be different across the Navy, Army and Air Force, naturally reflecting the different roles each service plays in the battlespace. These differences extend from day-to-day work on base to operations in the field. The leadership style of a section or troop leader in the Army may vary

from that of a detachment leader in the Air Force or of a Master Seaman in the Navy's divisional system. Increasingly, however, the evolution of a true joint doctrine and a pervasive CF culture tend to minimize these differences. This is particularly true as leaders rise in rank. This is not to say, however, that these differences can be entirely eliminated. Each service engages the enemy in different ways. A ship's complement sails into harm's way together, and the chain of command to the Captain is short and decisive. In the Army, soldiers close on the enemy in a unique way, although more senior leaders, albeit exposed to great danger, rarely engage the opponent directly. In the Air Force, aircraft crews fly into harm's way, while support personnel generally operate away from the immediate battle zone. Increasingly, however, in asymmetric warfare, insurgency or what has been described as Fourth-Generation Warfare (4GW), danger is pervasive regardless of the location.

The common CF doctrine espoused in *Duty with Honour: The Profession of Arms in Canada* and the

complete suite of new manuals on leadership in the Canadian Forces contribute significantly to the development of a joint mentality and doctrine.

Identity and Culture

Customs and traditions that enhance cohesion and esprit de corps are vital requirements for maintaining and sustaining Canadian military professionalism. A wide range of customs and traditions associated with membership in the CF, including branch and environmental affiliations, form characteristics that bond members. These customs and traditions produce special social structures that contribute to a sense of unity and military identity. Leaders actively seek to build morale and cohesion by building on or establishing a unique identity for their unit. This identity is reflected in particular ways of doing things, distinct standard operating procedures, and sometimes variations in uniforms. It is further reinforced by the CF's military ethos, which provides CF members with a common understanding

Lieutenant-Colonel J. D. Mitchell and Detached Air Crews, Operation APOLLO, Southwest Pacific Theatre, 2002

Meritorious Service Medal Citation

Lieutenant-Colonel Mitchell was the Commanding Officer of the first Canadian Long Range Patrol detachment deployed to the Arabian Gulf region during Operation APOLLO, from January to July 2002. Under his leadership, the unit contributed significantly to operations at sea in the global campaign against terrorism. He achieved this in spite of considerable adversity, a host nation with vastly different working norms and the complexity of integrating into a United States-led coalition operation. With diplomatic adroitness and outstanding professionalism LCol Mitchell has led his aircrews to achieve an unprecedented mission completion rate by successfully detecting and locating elusive high-interest vessels. These achievements have brought great credit to the Canadian Forces and Canada.

of the values that guide individual and collective action. The CF culture is based on this common practice of the CF's military ethos and the orchestration of the capabilities provided by the services, to achieve the necessary effect where appropriate.

External Organizations and Personalities

Canadian Forces leaders often work with other militaries, public servants and civilian contractors. In accordance with the CF's Integrated Operations Doctrine this will frequently be the case on operations as well as in garrison. The doctrine subsumes earlier approaches involving an even greater emphasis on seamless organizational effectiveness. As with the case in the environments, it is important to understand the theory and practice of good leadership, the principles enunciated in this manual. As discussed already, effective leaders seek to know their followers and understand their team's situation. Experience and professional judgment enable leaders to customize their leadership style to meet the requirements of the situation.

Awareness of the expectations of others with regard to effective leader behaviour is also important when working with other nations and non-governmental organizations. The rule, rather than the exception, of operations across the spectrum of conflict today is that CF leaders will be working with a cross-national force. They will also likely be working with indigenous civilians. It is, therefore, imperative that leaders make themselves aware of the norms, customs and traditions of these other nations and peoples and understand that each has something valuable to offer. Military leaders are obliged to strive for cultural as well as technical and doctrinal interoperability.

Major B. Beardsley, United Nations Assistance Mission for Rwanda, Rwanda, 1994

In July of 1993, I was posted to what my career manager said would be a "quiet, boring little peacekeeping mission in Africa." The mission was Rwanda, where I served as the personal staff officer to General R. Dallaire, the Canadian Force Commander before and during the genocide that destroyed the country and killed 800,000 people in 100 days in 1994. The mission was supposed to be a classic Chapter-Six peacekeeping mission. We were mandated, organized and equipped, and the troops were trained for and expected such a mission. However, the mission rapidly changed in April when the country descended into a civil war and genocide. Soldiers were murdered after they had surrendered; they were killed in action; they were wounded, injured or sickened beyond recovery by a host of physical and psychological ailments and injuries. We found ourselves targeted on a daily basis as we tried to accomplish our ever-changing mission in a war zone that was anything but quiet or boring. The mission that you end up on may not be the mission you want or the mission you think (or are told) you are deploying on. The situation can change in a minute from a humanitarian catastrophe to traditional peacekeeping, to peace enforcement to war fighting, and back again.

Four pieces of advice for any leader deploying on any operation: Expect the unexpected; take nothing for granted; be prepared for anything; and know your environment, know your environment, know your environment. Because it is what you don't know that will kill your people or you.



Summary

- **Learning and Innovating:** Leaders keep informed and up to date on the bigger picture of what is going on around them.
- **Situational Awareness:** This ability to identify, process and understand the critical elements of what is happening around you means that leaders are
 - continuously seeking, extracting and interpreting information from the external environment;
 - integrating this information with previous knowledge to develop as accurate a mental picture of reality as possible;
 - understanding the dynamics of the task environment; and
 - using the information gathered to anticipate what is going to happen next.
- **Supporting Innovation and Experimentation.** Guidelines for supporting innovation include:
 - Tolerate failure;
 - Encourage risk-taking;
 - Encourage creative thought and the use of technical innovation;
 - Experiment and evaluate;
 - Listen actively;
 - Express confidence in followers and superiors; and
 - Encourage lifelong learning.
- **Learning from Experience and Those Who Have Experience.** Guidelines for effective learning include:
 - Understand the information you are getting from the surrounding environment and situation;
 - Reflect on how the information can have an impact. Consult with peers, superiors and followers;
 - Evaluate the information in relation to current experience and knowledge; and
 - Think about how information and technology offer new ways to act.
- **Developing Effective External Relationships.** Guidelines for developing effective external relationships include:
 - Identify key players;
 - Go and meet people; establish a network;
 - Take the time to explain the roles and capabilities of your team or organization to others;
 - Take the time to understand other teams' mandates and capabilities (and command relationship);
 - Develop professional relationships with peers, colleagues and external counterparts;
 - Be willing to assist others;
 - Ensure that the assistance received from others is reciprocated and acknowledged; and
 - Keep superiors and colleagues informed of activities.
- **Leadership Across Environments and with Other Organizations:** The rule, rather than the exception, of operations across the spectrum of conflict is that leaders work with members of all three environments, with military allies, public servants and non-governmental organizations. This normally necessitates making themselves aware of the norms, customs and traditions of these entities and understanding their roles and capabilities. Within the CF leaders must ensure that team and unit identity is subordinate to CF culture.