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ASSESSMENT AND DEVELOPMENT OF EMERGING INSTITUTIONAL LEADERS: THE FORGOTTEN FEW

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Master of Defence Studies

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Maj J. Indewey

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ABSTRACT

This paper reviews the desirable characteristics of the institutional leader as found in both academic literature and the leadership publications of the Armed Forces of Canada, the United States, Australia and New Zealand. These characteristics are then mapped one against the other in order to derive a set of common core characteristics desirable in leaders of the military institution. These core characteristics are then compared against the CAF assessment criteria of emerging leaders of the military institution, namely Majors and Lieutenant - Colonels. This comparison reveals a large discrepancy in what the institution wishes to cultivate and what it actually assesses. Finally, this paper offers recommendations for revised assessment criteria for Majors and Lieutenant - Colonels and methods of bridging their developmental gap as they progress from DP 3 to DP 4.

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CHAPTER 1 - INTRODUCTION

The ultimate purpose of the armed forces is the “ordered application of military force at the direction of the government;” nevertheless, by virtue of their size, complexity and diversity, all modern militaries are also institutions.¹ While institutions can be large unwieldy bureaucracies, institutional leadership need not be synonymous with bureaucratic leadership. This is acknowledged in A-PA-005-000/AP-006 *Leadership in the Canadian Forces: Leading the Institution* where institutional leaders are defined as those who “contribute to CF strategy,” and not simply managers of the organisation.² Given the impact of concepts like the Strategic Corporal, virtually all leaders find themselves as institutional leaders to a greater or lesser degree.³

If institutional leadership is as pervasive throughout the Canadian Armed Forces (CAF)⁴ as *Leading the Institution* would have us believe, then it follows that the institution has a responsibility to cultivate and assess institutional leadership in the same measure as tactical leadership and technical ability. To determine if this is, in fact, the case, a comparison of leadership characteristics as identified in academic writing and military publications⁵ will distil the common elements of institutional leadership which may be applicable to the Canadian military institution. These elements will then be compared against the Canadian Forces Performance Appraisal System (CFPAS) criteria to determine if CAF is assessing the right institutional leadership qualities. In parallel,

¹ Department of National Defence, A-PA-005-000/AP-006, *Leadership in the Canadian Forces: Leading the Institution* (Ottawa: DND Canada, 2007), 4.

² *Ibid.*, i.

³ Gen. Charles C. Krulak, USMC, “The Strategic Corporal: Leadership in the Three Block War,” *Marine Corps Gazette* 83 no. 1, (January 1999): 18.

⁴ Throughout this paper Canadian Armed Forces (CAF) and Canadian Forces (CF) are synonymous.

⁵ Leadership publications and studies from Canada, the United States, New Zealand, and Australia will form the basis of military leadership.

this paper will examine when is the best time in an officer's career to begin teaching and assessing institutional leadership. Finally, this paper will provide practical recommendations to aid in the development and assessment of institutional leadership throughout an officer's career.

CHAPTER 2 – WHAT IS INSTITUTIONAL LEADERSHIP

Before proceeding with a review of the body of literature surrounding institutional leadership, it is necessary to provide context to *institutional leadership*. Richard Bolden, in his 2004 work entitled *What is Leadership* addresses the problem of accurately defining leadership due to its complex construct “open to subjective interpretation.”⁶ According to Bolden, definitions of leadership are affected by the observers theoretical stance which may view leadership as either a series of traits or a process emerging from interactions within a group. Similarly, views on leadership are affected by ones determination of leadership as an assumed role (*earned*) or assigned position (*bestowed*). Finally, leadership views are often tied to views on morality. The Hitler argument appears frequently as a determinant between a charismatic leader and a moral leader.

Taking a firm stance in these three areas, *Conceptual Foundations* provides a definitive explanation of effective leadership in the Canadian Forces context: “Directing, motivating, and enabling others to accomplish the mission professionally and ethically, while developing or improving capabilities that contribute to mission success.”⁷ It goes on to state that “CF leaders get the job done, look after their people, think and act in terms of the larger team, anticipate and adapt to change, and exemplify the military ethos in all they do.”⁸ Based on this definition, it is clear CAF views leadership as an institutional requirement (i.e., ‘*the larger team*’) executed as a process, which may be assumed by anyone, and is focused on the morality of its actions. This definition closely

⁶ Richard Bolden, *What is Leadership?* Leadership South West Research Report 1 (Exeter: University of Exeter, 2004), 4.

⁷ Department of National Defence, A-PA-005-000/AP-004, *Leadership in the Canadian Forces: Conceptual Foundations* (Ottawa: DND Canada, 2005), ii.

⁸ *Ibid.*

mirrors Northouse's 2004 review of leadership theories which concluded that leadership can be distilled down to a process that involved influencing a group to achieve common goals.⁹

⁹ Northouse, 2004 as cited in Richard Bolden, *What is Leadership?* ..., 5.

CHAPTER 3 – REVIEW OF LEADERSHIP LITERATURE

While examining the literature surrounding institutional leadership within academia and the military, three things become apparent. First, the works of Bernard Bass dominate the field of institutional leadership and have been frequently and successfully applied to military leadership. Second, the level of overlap among the qualities of an institutional leader, whether military or civilian, was quite significant. Third, there is little literature on when it is appropriate to begin teaching and assessing institutional leadership in either the civilian or military fields. This section will expand on the above points while providing a synopsis of the various key works in the field. It should be noted that this chapter is designed as a primer for those not intimately familiar with either the works of Bass/Carless or the leadership publications of Canada, the US, Australia and New Zealand. There will be unavoidable overlap between this section and later, more definitive reviews of the respective works. Those familiar with the works of Bass/Carless and the leadership publications of Canada, the US, Australia and New Zealand need not dwell further on this chapter.

Works of Bernard M. Bass *et al*

Throughout his career, Bernard M. Bass published over 400 articles focused on leadership and organizational behaviour. The crux of Bass' work centers on the value of transformational leadership over transactional leadership. Transformational leaders “integrate creative insight, persistence and energy, intuition and sensitivity to the needs of others to ‘forge the strategy-culture alloy’ for their organizations.”¹⁰ Conversely,

¹⁰ Bernard M. Bass and Bruce J. Avolio, “Transformational Leadership and Organizational Culture,” *Public*

transactional leaders are “characterized by contingent reward and management by exception styles of leadership,” seeking to reward accomplishments and punish failure.¹¹ While there is room for both types of leadership within modern militaries, Bass devoted considerable effort to identifying the value of transformational leadership within a military context. In a 2003 study sponsored by the U.S. Army Research Institute for Behavioural and Social Sciences examining the value added by transformational leadership at the platoon level, Bass *et al* concluded that while leadership at the platoon level is necessarily transactional, it can be significantly enhanced through the application of transformational leadership qualities.¹² Bass would continue to advocate the applicability of transformational leadership throughout an organization, with it being a necessity for success at the highest levels.

To codify transformational versus transactional leadership, Bass *et al* developed the concept of the *4I*'s of transformational leadership, namely Idealized Influence, Inspirational Motivation, Intellectual Stimulation and Individualized Consideration.¹³ These four characteristics were used to differentiate the truly transformational leader from the simply charismatic leader. The same characteristics also described the transformational spectrum when deciding if an organization was transformational or transactional. Expanding on Bass' work and focusing exclusively on transformational leadership, Sally A. Carless developed a more extensive list of seven leadership

Administration Quarterly (Spring 1993): 112.

¹¹ *Ibid.*

¹² Bernard M. Bass, Bruce J. Avolio, Dong I. Jung and Yair Berson. “Predicting Unit Performance by Assessing Transformational and Transactional Leadership.” *Journal of Applied Psychology*, 88 no. 2 (2003): 216.

¹³ Bernard M. Bass, “The Future of Leadership in Learning Organizations,” *The Journal of leadership Studies*, Vol 17, no. 3 (2000): 26; Bruce J. Avolio, David A. Waldman, and Francis J. Yammarino, “The Four I's of Transformational Leadership,” *Journal of European Industrial Training* Vol 15, no. 4 (1991): 10-14.

behaviours designed to “encompass the concept of transformational leadership...”¹⁴ The seven leadership behaviours were Vision, Staff Development, Supportive Leadership, Empowerment, Innovative or Lateral Thinking, Leading by Example, and Charismatic Leadership. The 4I’s and seven leadership behaviours will be expanded upon in Chapter 4 of this paper.

While much of Bass’s work was done with the U.S. Army and U.S. companies, transformational leadership has clear applicability to the Canadian Armed Forces. Namely, Chapter 5 of *Conceptual Foundations* has an entire section dedicated to transformational leadership, highlighting its importance to CAF. *Conceptual Foundations* unequivocally states that CAF “transformational leadership is rooted in the value systems of the Canadian military ethos” and is equally applicable “to the transformation of people or to organizational transformation.”¹⁵ The definitive acknowledgement of the key role of Bass’ transformational leadership in the CAF is summarized by the following statement:

The leader behaviours that are most often associated with transformational leadership are neither new nor magical, but transformational leaders bring together a mix of insight, imagination, rational persuasion, values based inspiration, and concern for followers in one package. Especially valuable in an environment of multiple adaptive challenges and where the trust and dedication of others are critical to success, **transformational leadership is, in effect, just another name for effective or superior leadership**. Superior CF leaders, or transformational leaders, give followers valid reasons to be hopeful and committed.¹⁶ (Emphasis added)

With this understanding, it is now essential that we look at what qualities the Armed Forces of Canada, the United States, Australia and New Zealand expect from leaders of

¹⁴ Sally A. Carless, Alexander J. Wearing and Leon Mann, “A Short Measure of Transformational Leadership,” *Journal of Business and Psychology* 14, no. 3 (Spring 2000): 390.

¹⁵ *Ibid.*

¹⁶ *Ibid.*

the institution.

Canadian Armed Forces Institutional Leadership Qualities

CAF has dedicated an entire publication to leadership of the military institution. *Leadership in the Canadian Forces: Leading the Institution*, published in 2007, has chapters dedicated to the six key elements of CAF institutional leadership. Chapter 1 covers the concept of Stewarding the Profession, defined as the establishment, maintenance and strengthening of standards across the force.¹⁷ Chapter 2 is dedicated to Systems Thinking, focused on the interactions between systems within the larger organization of both CAF and the government.¹⁸ Chapter 3 covers the importance of military strategy while Chapter 4 discusses the importance of working within the larger National Defence bureaucracy. Chapter 5 covers the importance of creating a vision and leading change while Chapter 6 is dedicated to the importance of ensuring member well-being and commitment. These six key elements of institutional leadership will be expanded upon in Chapter 5 of this paper.

United States Military Institutional Leadership Qualities

The U.S. Military has no overarching or Joint publication dealing with Institutional Leadership. To determine what qualities an institutional leader should possess, the author relied heavily on *Building Better Generals*, a 2013 paper by the Center for New American Security, “an independent, bipartisan, nonprofit organization that

¹⁷ Department of National Defence, *Leadership in the Canadian Forces: Leading the Institution* . . . , 4.

¹⁸ *Ibid.*, 22-23.

develops strong, pragmatic, and principled national security and defense policies.”¹⁹ An in-depth analysis of this document revealed seven key characteristics required for effective leadership at the highest levels within the US military. These qualities are Innovation and Forward thinking, Professional Military Education, Stewardship of the Entire Service, Versatility, Risk Taking, Strategic Outlook, and Accountability.²⁰ These seven key elements of military institutional leadership will be expanded upon in Chapter 5 of this paper; however, the overlap with *Leading the Institution* is already becoming apparent.

Australian Defence Force Institutional Leadership Qualities

Another 2013 paper entitled *The Chiefs: A Study of Strategic Leadership*, was an attempt by the Australian Defence Force (ADF) to “describe the leadership processes and cultural milieu at the most senior levels of the Australian military profession.”²¹ Embedded within this lengthy document was a succinct list of the “[a]ttributes needed for effective performance at the strategic level” as determined by current leadership of the ADF and a review of “general literature on executive performance.”²² This list contained the following attributes: Strategic acumen, Communication skills, Resilience, ‘Small p’ political sense, Identity, Mental agility, Cross-cultural savvy, Interpersonal maturity, and Professional astuteness.²³ These attributes will be expanded upon further in Chapter 5 of this paper.

¹⁹ Center for a New American Security, “About CNAS,” last accessed 28 February 2017, <https://www.cnas.org/mission>.

²⁰ David Barno, *et al*, *Building Better Generals*, (Washington, Center for a New American Security, 2013), 7-28.

²¹ Nicolas Jans *et al*, *The Chiefs: A Study of Strategic Leadership*. (Australian Defence College: Centre for Defence Leadership and Ethics, 2013), x.

²² *Ibid*, 118.

²³ *Ibid*, 119.

New Zealand Defence Force Institutional Leadership Qualities

In 2012, the New Zealand Defence Force (NZDF) published a strategic plan entitled *Future 35*, designed to “implement the strategic change needed within the Defence Force to overcome current and future challenges.”²⁴ In support of *Future 35*, the NZDF “designed a system to articulate the requirements of leaders across the Force in preparation for their changing roles as they progress through the organization into an increasingly unknown future.”²⁵ Resultantly, the NZDF published the Leadership Development Framework (LDF); a list of six leadership qualities required to lead the NZDF into 2035 and beyond. These six leadership qualities were described as Live the Ethos and Values, Think Smart, Influence Others, Develop Teams, Develop Positive Culture, and Mission Focus.²⁶ While these attributes will be expanded on further in Chapter 5 of this paper, one is able to see the overlap between the NZDF view of leadership and the CAF leadership values found in *Conceptual Foundations*.

When to Begin Assessing Institutional Leadership

There is little literature on when institutional leadership should be assessed and that which exists is inexorably linked with transactional leadership. Much of the work of Bass *et al*, including his article “Predicting Unit Performance by Assessing Transformational and Transactional Leadership,” says nothing about what stage in a leader’s or manager’s career they should be assessed for institutional or transformational

²⁴ New Zealand Defence Force, “Future 35: Our Strategy to 2035,” last accessed 28 February 2017, <http://www.nzdf.mil.nz/downloads/pdf/public-docs/future-35-our-strategy-to-2035.pdf>.

²⁵ Commander Mark Meehan and Flight Lieutenant Delwyn Neill, “The New Zealand Defence Force: An Adaptive Organization Requiring Adaptable Leaders,” in *Adaptive Leadership in the Military Context: International Perspectives*, ed. Lieutenant-Colonel Douglas Lindsay, PhD and Commander Dave Woycheshin, PhD (Winnipeg: 17 Wing Winnipeg Publishing Office, 2014), 111.

²⁶ *Ibid.*, 113.

leadership qualities. In the article, Bass demonstrates that the use of transformational leadership improves platoon performance over the use of exclusively transactional leadership; however, he provides no comments on when transformational leadership should be assessed or what constitutes institutional leadership.²⁷ Similarly, when discussing commercial endeavours, Bass points to the validity of transformational leadership from “[l]ocal line leaders” all the way to “high level executives”²⁸ Resultantly, it is safe to assume that Bass *et al* support the teaching, and by extension, assessment of transformational leadership at the earliest opportunity for junior officers and low-level managers. Similar to the work of Bass *et al*, the NZDF assess the same institutional leadership qualities throughout a leader’s career. While expectations increase throughout a soldiers or officer’s career, the assessment factors remain consistent.

In contrast to the NZDF, the ADF and the U.S. Military view institutional leadership as the exclusive purview of the most senior of military officers. *The Chiefs* is written for “the most senior levels of the Australian military profession” focused on “Chief of the Defence Force, Vice Chief of the Defence Force, Chief of Capability Development Group and the Chiefs of Service,” presumably the three and four *star* level.²⁹ *Building Better Generals*, as the name implies, is focused on the capabilities required for General and Flag Officers (GOFOs) to succeed in the post Afghanistan/Iraq era defined by reduced spending and strategic instability.³⁰

The Canadian approach to institutional leadership carves out a middle ground, but

²⁷ Bernard M. Bass, “Predicting Unit Performance . . .,” 215-216.

²⁸ Bernard M. Bass, “The Future of Leadership . . .,” 19.

²⁹ Nicolas Jans *et al*, *The Chiefs* . . . , x.

³⁰ David Barno, *et al*, *Building Better Generals* . . . , 7.

is more closely aligned with that of the ADF and United States. The forward to *Leading the Institution* is clear in its intent:

This manual, *Leadership in the Canadian Forces: Leading the Institution*, provides guidance to all senior officers and non-commissioned officers who serve in key appointments, their staffs, and others with the abilities and commitment to contribute to CF strategy. Leading the Institution is designed to provide assistance to those operating, or aspiring to work, at that level. It offers direction for one to attain the knowledge, leader capacities, skills and professionalism required for becoming an effective institutional leader.³¹

The manual is aimed at senior officers, which the *CAF Competency Dictionary*, identifies as Colonel and above.³² Nevertheless, the manual also serves to provide guidance to the staff of institutional leaders as well as those aspiring to become leaders of the institution. This nuance is captured in the introduction which makes a direct connection between the role of staff and the act of leading the institution when it states that “members in staff positions who assist and influence senior officers, or liaise with external agencies on behalf of a senior appointment, also play a significant role in leading the institution.”³³ Resultantly, it is clear that senior officers must be assessed as leaders of the institution; however, there is no direction provided to help determine at what rank an officer should begin to be trained and assessed as an emerging institutional leader.

³¹ Department of National Defence, *Leadership in the Canadian Forces: Leading the Institution* . . . , i.

³² Director General Military Personnel Research and Analysis, *Canadian Armed Forces Competency Dictionary* (n.p., 2015), 182.

³³ Department of National Defence, *Leadership in the Canadian Forces: Leading the Institution* . . . , vii.

CHAPTER 4 – QUALITIES OF THE INSTITUTIONAL LEADER

Whether the works of Bass *et al* or their contemporaries such as Carless *et al* are examined, the key components of transformational institutional leadership are remarkably similar. As Bass and Avolio wrote:

The goal of transformational leadership is to ‘transform’ people and organisations in a literal sense – to change them in mind and heart; enlarge vision, insight, and understanding; clarify purposes; make behaviour congruent with beliefs, principles, or values; and bring about changes that are permanent, self-perpetuating, and momentum building³⁴

Similarly, military institutional leadership accepts the primacy of transformational leadership when it discusses the shift from direct to indirect leadership as rank increases.³⁵ While each military has developed its own unique list of military institutional leadership traits, a closer examination reveals numerous areas of overlap and commonality. Furthermore, when military leadership qualities are compared against the generic academic descriptions of leadership, applicable to industry and academia alike, the two lists are remarkably similar.

Academic Views on Institutional Leadership

The writings of Bernard M. Bass and Sally A. Carless, who expanded on his work, serve as the best reference for the essential qualities of an institutional leader as they have been consistently applied to both industry and military leadership and found to be effective. Throughout *Conceptual Foundations*, Bass is directly quoted three times, and six of his works are reference over nine times. Clearly, CAF leadership relies heavily

³⁴ Bass and Avolio, 1994) as cited in Richard Bolden, *What is Leadership? ...*, 11.

³⁵ Department of National Defence, *Leadership in the Canadian Forces: Conceptual Foundations...*, 70-71.

on the work on Bernard M. Bass. Bass *et al*, in multiple articles advocate the *4I*'s of transformational leadership: Idealized Influence, Inspirational Motivation, Intellectual Stimulation and Individualized Consideration.³⁶ After reviewing the work of Bass and other leaders in the field, Sally A. Carless, a pioneer in the study of gender roles in transformational leadership as well as definitive techniques for the selection of managers within an institution, proposed a list of seven leadership behaviours designed to more accurately capture the differing facets of transformational leadership within an institution. Carless' seven leadership behaviours are: Vision, Staff Development, Supportive Leadership, Empowerment, Innovative or Lateral Thinking, Leading by Example, and Charismatic Leadership.³⁷ An examination of the works of both authors will reveal remarkable similarity in how the two define the qualities of a transformational leader. Table 4.1 and Table 4.2 below provide a detailed summary of Bass and Carless work.

Table 4.1 – Bass *et al* - 4I's of Transformational Leadership

Factor	Description
Idealized Influence	These leaders are admired, respected, and trusted. Followers identify with and want to emulate their leaders. Among the things the leader does to earn credit with followers is to consider followers' needs over his or her own needs. The leader shares risks with followers and is consistent in conduct with underlying ethics, principles, and values.
Inspirational Motivation	Leaders behave in ways that motivate those around them by providing meaning and challenge to their followers' work. Individual and team spirit is aroused. Enthusiasm and optimism are displayed. The leader encourages followers to envision attractive future states, which they can ultimately envision for themselves.

³⁶ Bernard M. Bass, "Predicting Unit Performance ...," 208.

³⁷ Sally A. Carless, Alexander J. Wearing and Leon Mann, "A Short Measure ...," 390-392.

Intellectual Stimulation	Leaders stimulate their followers' effort to be innovative and creative by questioning assumptions, reframing problems, and approaching old situations in new ways. There is no ridicule or public criticism of individual members' mistakes. New ideas and creative solutions to problems are solicited from followers, who are included in the process of addressing problems and finding solutions.
Individualized Consideration	Leaders pay attention to each individual's need for achievement and growth by acting as a coach or mentor. Followers are developed to successively higher levels of potential. New learning opportunities are created along with a supportive climate in which to grow. Individual differences in terms of needs and desires are recognized.

Source: Bernard M. Bass, *Predicting Unit Performance by Assessing Transformational and Transactional Leadership*, 207-218.

Table 4.2 – Carless *et al* – Seven Leadership Behaviours

Factor	Description
Vision	Transformational leaders develop an image of the future of their organisation and communicate this vision to their subordinates, often by frequent statements. Through the process of communicating a vision, the leader conveys a set of values which guide and motivate employees.
Staff Development	Effective leaders facilitate and encourage the personal development of their staff. They diagnose the needs and abilities of each staff member and advise and encourage individual development, usually on a one-to-one basis. Individual development includes delegating tasks and responsibilities to followers to facilitate the development of new skills and to provide challenging opportunities. Through delegation a leader conveys confidence in the abilities of his or her staff to perform effectively.
Supportive Leadership	Supportive leadership includes giving positive feedback to staff and recognising individual achievements. Through the use of supportive leadership, leaders express confidence in the abilities of their staff to perform effectively and to succeed in achieving challenging goals. Supportive leadership is not only important for the individual, but also the team as a whole. Successful leaders not only acknowledge individuals, but also provide recognition of team achievements and successes. Public recognition of team work provides evidence that the leader values and supports the work being undertaken. It also builds

	commitment to achieving the leader's vision and identification with the team.
Empowerment	Effective leaders involve team members in decision making. Such leaders share power and information with their staff and encourage autonomy. An effective leader empowers team members by ensuring they have the authority to implement policies and by supporting members' decisions. Effective leaders involve team members in decision making. Such leaders share power and information with their staff and encourage autonomy. They set up policies and procedures which involve staff in the problem-solving and decision making of the team. An effective leader empowers team members by ensuring they have the authority to implement policies and by supporting members' decisions. Empowerment also involves creating a climate of trust, respect, open communication and cooperation which facilitates a cooperative, participative group climate.
Innovative or Lateral Thinking	Effective leaders use innovative, sometimes unconventional strategies to achieve their goals. Such leaders are willing to take risks to achieve their vision and enjoy challenging opportunities. Similarly, transformational leaders encourage their staff to think laterally and regularly give them challenging tasks. Associated with the development of innovative behaviour is the acceptance by the leader that mistakes are seen as a learning opportunity.
Leading by example	Transformational leaders display consistency between the views they articulate and their behaviour. An effective leader clearly communicates his or her beliefs and values to staff. Leading by example is also referred to as role modelling. Leaders express self-confidence and set an example for staff that is congruent with the attitudes and values they espouse.
Charismatic Leadership	Charismatic leaders are perceived as trustworthy, highly competent and worthy of respect. Through charismatic leadership, the follower is inspired to heightened levels of motivation and performance in support of the organisational goals. Bass and his colleagues posit that charisma is an essential transformational leader behaviour. The evidence suggests that charismatic leadership is an important predictor of leader effectiveness, work performance of managers, and business unit performance.

Source: Sally Carless, *A short Measure of Transformational Leadership*, 390-392.

When the works of Bass *et al* and Carless *et al* are compared based on key words and concepts, the similarities become apparent. Many words or phrases used by both

authors can be considered to be synonyms for one another. For example, inspiration and charisma share many common elements as do individualized consideration and development. When the definitions of each word or phrase are read in conjunction with each other, it is no coincidence that there is significant overlap. The overlap is to be expected as the works of Carless *et al* drew heavily from the works of Bass *et al*. When studied in detail, Carless *et al*'s *Seven Leadership Behaviours* can be directly mapped against Bass *et al*'s *4I's of Transformational Leadership*. This mapping of commonality can be seen in Table 4.3 below.

Table 4.3 – Merging of 4I's and Seven Leadership Behaviours

Bass <i>et al</i> - 4I's of Transformational Leadership	Carless <i>et al</i> – Seven Leadership Behaviours	Commonality
Idealized Influence	Leading by example	Focused on the role of the leader as the embodiment of those qualities desirable in the organization. The leader sets the example that subordinates strive to emulate. The needs of the subordinate take precedence over those of the leader. The leader shares more risk and receives less reward in the name of building a better and stronger team.
Inspirational Motivation	Vision	Through the charisma and inspiration of the leader, subordinates buy into a shared vision of the organization and are motivated to achieve it. The leader is the central figure in guiding the team to achieve the shared vision through both his actions and words.
	Charismatic Leadership	
Intellectual Stimulation	Empowerment	The leader encourages innovative thinking and empowers subordinates

		to act on it. The leader provides the mental stimulation necessary for innovative thinking and provides the subordinate with the authority to implement new ideas. Mistakes are to be expected and do not reflect negatively on subordinates while success is directly attributed to the subordinate's innovative solution.
	Innovative or Lateral Thinking	
Individualized Consideration	Staff Development	The role of the leader is to know each individual and how best to coach or mentor them in their development. Staffs are provided with opportunities to learn in a positive environment that encourages risk taking while being sheltered from negative outcomes.
	Supportive Leadership	

As this paper goes on to compare the institutional leadership qualities between academia and the military, Carless *et al's Seven Leadership Behaviours* will be used as representative of the academic view of institutional leadership. This list was chosen as it is more exhaustive than Bass *et al's 4I's of Transformational Leadership* and will provide more points of comparison across academic and military institutional leadership qualities. In addition, the use of a single list to summarize the view of academia will aid in reducing the overall number of lists being compared and contrasted.

CHAPTER 5 – INSTITUTIONAL LEADERSHIP IN THE MILITARY

Developing institutional leadership in the armed forces of the nation is a topic of much study among Canada and her allies. The literature review section identified the key institutional leader publication for Canada, the United States, Australia and New Zealand. Each country developed their list through internal study and external review with all documents produced between 2007 and 2014, making them contemporary statements on institutional leadership in the modern era. The key factors of each nation's publication will be examined in tabular format with detailed descriptions. The factors from each nation will then be cross analyzed based on these descriptions and compared against *Leading the Institution* to determine its relevance in identifying the key facets of military institutional leadership.

Institutional Leadership in the CAF

Canada's keystone publication for military institutional leadership is A-PA-005-000/AP-006, *Leading the Institution*. This publication is designed for leaders of the institution, their staff and aspiring institutional leaders to acquaint themselves with the key facets of leading the institution.³⁸ The publication is quite lengthy, with an entire chapter dedicated to each of the six key elements of institutional leadership: Stewarding the Profession, Systems Thinking, Military Strategist, Working the Town, Creating a Vision / Leading Change, and Ensuring Member Well-Being and Commitment. To facilitate comparison, the essential elements of each factor have been distilled in Table 5.1 below.

³⁸ Department of National Defence, *Leadership in the Canadian Forces: Leading the Institution . . .*, i.

Table 5.1 – Canada - *Leading the Institution*

Factor	Description
Stewarding the Profession	The maintenance of professional excellence within the institution. Establishing and strengthening the highest standards of professionalism. Involves intellectual agility as the institution does not remain static. Accomplished through role modelling and formal statements of institutional philosophy and policy.
Systems Thinking	Systems thinking is based upon the premise that the relationship among systems and characteristics at the institutional, group/unit and individual levels can be understood as interrelated patterns of cause and effect. Management of the CF is the management of the resources input by the external environment (budget, people, capital and equipment, infrastructure and knowledge) in order to ensure effective output (defence capability).
Military Strategist	Strategy is broadly defined to include both institutional strategies, and applied strategy as a means of distributing and directing military force in conjunction with other sources of national power and influence (national security strategy) to achieve objectives pursuant to a policy goal. Strategy is the process by which means are related to ends, intentions to capabilities, and objectives to resources.
Working the Town	Institutional leadership at National Defence Headquarters involves important relationships with other government departments, central agencies, Parliament and a number of disparate external stakeholders. Policy-makers and strategic planners face a complex environment, including multiple categories and levels of governance, diverse social and economic groups and regions, unity challenges, difficult issues with the United States, and international, multilateral and multinational pressures.
Creating a Vision/ Leading Change	Vision demonstrates a proactive philosophy and a demeanour representative of an institutional leadership that is attempting to provide new solutions and stimulate change to meet tomorrow's challenges. However, vision without action lacks substance and credibility and will quickly disillusion followers and create failed expectations. Followers carefully monitor the actions of leaders prior to committing to a change to ensure actions match intent. A compelling vision and strategic objectives provide the essential foundation for initiating change.

<p>Ensuring Member Well-Being and Commitment</p>	<p>Institutional leaders are responsible for safeguarding Canada’s moral commitment to CF members in recognition of the unique service that they provide to Canadian society. Member well-being contributes to mission success by providing commanders with the skilled, fit and motivated personnel they need. Well cared for people are also more motivated, committed to the mission, productive, and inclined to remain in service. To achieve the degree of commitment necessary in a military context, institutional leaders ensure that members internalize critical aspects of the military ethos, thus ensuring their allegiance to critical national and professional values.</p>
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Source: Department of National Defence, *Leadership in the Canadian Forces: Leading the Institution*, 4 - 5, 22, 42, 64, 82, 101.

Institutional Leadership in the U.S. Military

The United States, by virtue of its size and structure, views institutional leadership predominantly as the function of GOFOs.³⁹ In an attempt to improve institutional leadership capability among GOFOs of each service, David Barno *et al* produced *Building Better Generals* in 2013. Embedded within the treatise are seven institutional leadership factors that are essential to creating “an adaptive and creative officer corps in order to address the complex challenges of the 21st century.”⁴⁰ These seven attributes are Innovation / Forward Thinking, Professional Military Education, Stewards of the Entire Service, Versatility, Risk Taking, Strategic Outlook, and Accountability. A detailed description of each factor is included in Table 5.2 below.

³⁹ The Combatant Command, services and Joint Chiefs structures create numerous institutions within the greater institution of the US Armed Forces.

⁴⁰ David Barno, *et al*, *Building Better Generals...*, 5.

Table 5.2 – Barno *et al* - *Building Better Generals*

Factor	Description
Innovation/Forward Thinking	Senior officers will be charged with managing a massive and stunningly complex defense enterprise with reduced resources, while also being asked to provide operational leadership that will ensure that the U.S. military can dominate the battlefield in any potential conflict. Recent military experience may not be a useful guide for that future.
Professional Military Education	Education designed to prepare GOFOs for the complexity of future warfare and the efficient management of complex and resource-constrained defense enterprise. This will require rigorous foundational level training if GOFOs are to successfully navigate the profound strategic uncertainty and complex institutional challenges of tomorrow.
Stewards of the Entire Service	Senior officers are longer single corps or services focused but are expected to control and coordinate different branches while becoming generalists. Mastery of warfighting and institutional leadership will be required to steward the force into a new era.
Versatility	Successful military operations do not occur in a vacuum. They require exceptional logistical planning, acquisition and fielding of the right weaponry, recruitment and retention of the right individuals, and effective information management, among other things. Superior enterprise management is a necessary and vital component of combat capability.
Risk Taking	The ability to see where action is required and take it in the absence of direction. Learning not to fear failure and taking corrective action when failure does occur.
Strategic Outlook	Regardless of tenure in current assignment, understanding that institutional change takes time and must be nurtured along. It cannot be immediately implemented.
Accountability	As no formal written expectations exist between a GOFO and civilian or political leadership, accountability becomes the hallmark of success for a GOFO. Frequent face to face interaction and feedback is key to the Civil-Military interface.

Source, David Barno, *et al*, *Building Better Generals*, 7, 11, 12, 14- 16, 28.

Institutional Leadership in the ADF

When Nicholas Jans *et al* produced *The Chiefs*, they declared it to be “very different to th[e] mainstream of military writing” due to its focus on “operating in a complex mix of competing interests, bureaucracy and politics.”⁴¹ To determine the attributes required for effective performance at the strategic level, the authors took a dual pronged approach. First, they asked the most senior leaders of the ADF a simple question:

Consider two groups of current one-star officers: three who show particular potential for advancement to the highest levels; and another three who are likely to reach two-star but not three-star. . . . What distinguishes those in the first group from those in the second?⁴²

Added to this list were the results of a literature review on strategic leadership. The collective results are found in table 5.3 below.

Table 5.3 – Jans *et al* – *The Chiefs*

Factor	Description
Strategic Acumen	Think broadly and “outside the square.” To get to the nub of an issue, to discern issues and connections, consequences and second and third order effects that are obscure to others.
Communication Skills	Present a complex issue in a compelling, meaningful and consistent way to a range of constituencies. To succinctly help others to understand complicated issues – and thereby not only to improve their comprehension but also to use this as a subtle form of interpersonal influence.
Resilience	Tolerate the pressure of work at the strategic level. To ride with or even thrive within the intense pressure, stress and ambiguity of the strategic working environment.
“Small p” Political	Work across influence networks. To exert influence in the

⁴¹ Nicolas Jans *et al*, *The Chiefs*...., vii.

⁴² *Ibid.*, 120.

Sense	absence of authority.
Identity	Take a “strategic” perspective to one’s role. To adapt one’s level of thinking to that required at the strategic level.
Mental Agility	Being able to recognise changes in the environment and determine what is new and what must be learned to be effective. The associated learning process, i.e., the skill and the will to learn from and adapt to, and to continue to monitor, changes within the environment, rather than clinging to potentially out-dated interpretations. Understanding the systems at play and how they interact.
Cross-cultural Savvy	Understand cultures beyond one’s professional and national boundaries. To work effectively with those in other institutions and organizations, often across national boundaries.
Interpersonal Maturity	Work effectively with others across organizational levels and boundaries. To influence others through the exercise of personal authority whatever their organizational identity or level.
Professional Astuteness	Understand the military profession beyond its bureaucratic and structural characteristics. To be dispassionate about professional issues and needs, and accurately to identify those needs and work towards them.

Source: Nicolas Jans *et al*, *The Chiefs*, vii.

Institutional Leadership in the NZDF

The NZDF produced *Future 35* and the Leadership Development Framework in 2012 to achieve the vision of their Chief of the Defence Force by having fully integrated services focused on operational excellence.⁴³ The strategic leadership factors at play were deemed to apply equally to all members of the NZDF, but would take on increased importance as one crossed the six transitions points through their career. These transitions

⁴³ Commander Mark Meehan and Flight Lieutenant Delwyn Neill, “The New Zealand Defence Force...”, 111.

would take one from leading themselves through to leading the defence force.⁴⁴ The six key elements of the Leadership Development Framework were Live the Ethos and Values, Think Smart, Influence Others, Develop Teams, Develop Positive Culture, and Mission Focus. These core elements are explained in greater details in Table 5.4 below.

Table 5.4 – New Zealand – *The Leadership Development Framework*

Factor	Description
Live the Ethos and Value	Focused on living the NZDF ethos and modeling self-awareness and self-control. Members are expected to exhibit courage and integrity in ethically challenging environments
Think Smart	Leaders are expected to apply systems thinking and trial new solutions and ideas. Expected to operate and make decisions in a complex environment with a view towards the future.
Influence Others	Leaders are expected to build trust and relationships while influencing the performance of others. Leaders are aided by an understanding of culture and group behaviour. Connections are built between all levels in order to achieve influence and resolve conflict.
Develop Teams	Leaders develop teams and relationships between teams. They invest time and energy in sustaining team performance while seeing through the eyes of their team.
Develop Positive Culture	Leaders are expected to know and apply leadership theory while nurturing, mentoring and developing future leaders. Leaders are expected to engage subordinates and build/sustain a positive organizational culture. Finally, leaders are expected to implement change and enable continuous improvement.
Mission Focus	Leaders ensure words and actions align with the long-term vision of the NZDF. They provide direction and purpose to subordinates as well as intent based leadership. Leaders accept accountability and hold others to account for actions and behaviours.

⁴⁴ *Ibid.*, 116.

Source: New Zealand. *New Zealand Defence Force: Leadership Development Framework*, 1

Merging Institutional Leadership Across the Four Nations

When Tables 5.1 through 5.4 are compared and contrasted, there is significant commonality between them. Though the titles may differ, the desirable characteristics of the military institutional leader are much the same between the four key publications. Strategic outlook beyond the single service and beyond the single nation are what all militaries want in their most senior leaders. The ability to navigate the complex political worlds of Ottawa, Washington, Canberra, or Wellington while distilling vague political guidance into military direction, are essential qualities of the military institutional leader. The ability to think within a system of systems and handle the *wicked problems* facing the Armed forces are attributes that every country requires of its institutional leaders. Table 5.5 compares the four key documents and captures their commonality.

Table 5.5 - Merging of CAN, U.S, AUS, and NZ Military Institutional Leader Qualities

<i>Leading the Institution</i>	<i>Building Better Generals</i>	<i>The Chiefs</i>	<i>Leadership Development Framework</i>	Commonality
Stewarding the Profession	Stewards of the Entire Service	Identity	Influence Others	Focused on the interaction of leader and subordinates. The leader sets expectations for the organization and models the appropriate ethic and ability. The leader uses personal power to advance the aims of the organization.
Ensuring Member Well-Being and Commitment		Resilience	Live the Ethos and Value	
		Interpersonal Maturity		
Creating a	Versatility			Focused on the leader

Vision/Leading Change	Innovation/Forward Thinking	Communication Skills	Develop Positive Culture	establishing a vision for the organization and coaching/mentoring the team to achieve success. The leader acts as an instrument of change within the organization.
			Develop Teams	
Systems Thinking	Professional Military Education	Mental Agility	Think Smart	Focused on Systems Thinking and the ability of the leader to think ‘outside the box.’
		Strategic Acumen		
Military Strategist	Strategic Outlook	Professional Astuteness		Focused on the leader as a professional officer, understanding his role at the strategic level.
Working the Town	Accountability	“Small p” Political Sense	Mission Focus	Focused on the leader operating at the political military interface where direction is lacking and the leader must interpret direction from vague guidance and policy statements.
	Risk Taking	Cross-cultural Savvy		

Note: The above table uses *Leading the Institution* as the anchor point against which comparisons are made. The white and grey cells follow Institutional leader qualities from *Leading the Institution* in a horizontal fashion and are designed as a visual aid. A diagonal fill is designed to denote overlap between two factors within *Leading the Institution*.

Examining Table 5.5 above, it is clear the *Leading the Institution* accurately captures the elements of military institutional leadership common to many nations. Stewarding the profession and ensuring member commitment and wellbeing are common elements to modern democratic militaries; after all, “people are our most valuable resource.”⁴⁵ The ability to create and articulate a vision is “widely recognized as one of the top attributes for senior leadership whether in the military, government or business.”⁴⁶ To enable a vision in a massive institution like the Armed Forces of a nation, a leader

⁴⁵ Department of National Defence, *Leadership in the Canadian Forces: Leading the Institution* . . . , 112.

⁴⁶ *Ibid.*, 82.

must be able to apply systems thinking. Finally, a leader must be equally adept at working at the strategic level within the armed forces and navigating the complex political – military interface. Based on the significant level of overlap, it is easy to conclude the *Leading the Institution* is reflective of the desirable qualities of the military institutional leader. As such, *Leading the Institution* will form the basis of a comparison between academic and military institutional leader qualities.

CHAPTER 6 – COMPARING ACADEMIC AND MILITARY INSTITUTIONAL LEADER QUALITIES

When the common elements of institutional leadership in academia and the armed forces are compared, it is interesting to note the level of overlap. The overlap is not entirely unexpected as military institutional leadership draws heavily on the work of Bass *et al.* At their core, both focus on the leader who provides both strategic foresight and moral direction for the organization and who can motivate others to enable their vision. Members of any institution crave a leader who can inspire them to achieve great things and who will acknowledge and reward them for achieving it. To place this in a CAF context, it is clear that the institutional leadership characteristics found in *Leading the Institution* encapsulate both the desirable qualities espoused by researchers like Bass *et al* as well as mirroring those of our closest allies. Table 6.1 below maps the common elements of institutional leadership in academic writings, as represented by Carless *et al's* *Seven Leadership Behaviours*, and the armed forces, as represented by *Leading the Institution*. The table clearly demonstrates that, at the institutional level, the two worlds are not that far apart.

Table 6.1 – Merging Academic and Armed Forces Institutional Leadership Factors

<i>Seven Leadership Behaviours</i>	<i>Leading the Institution</i>	Commonality
Vision	Creating a Vision/Leading Change	The leader creates a vision and inspires others to achieve it. Followers are empowered to make the changes necessary to achieve the vision and are given increasing roles and responsibilities in achieving the vision.
Charismatic Leadership		
Empowerment		

		Followers are looked after and supported. Leaders give followers increased responsibility and mentor them in order to increase employee buy-in and commitment to the organization.
Supportive Leadership	Ensuring Member Well-Being and Commitment	
	Stewarding the Profession	Leaders set the example for professionalism and followers seek to model this behaviour. Followers receive training and development opportunities as they move from employees to professionals.
Leading by example		
Innovative or Lateral Thinking	Systems Thinking	Leaders must be able to “think outside the box” and apply innovative solutions to unforeseen problems.
Staff Development	Military Strategist	The leader is himself coached and developed in order to master his trade at the strategic/institutional level. At this level interactions are beyond the company or service and incorporate the wider national and international professional audience.
	Working the Town	This is unique to the military and deals with the civil-military interface. It reflects civil control of the military while avoiding civilian control of the military.

The near perfect mapping of the desirable institutional leadership characteristics of academia with those of the armed forces continues to reinforce the applicability of institutional leadership within the CAF. Indeed, with the level of overlap achieved, it is appropriate to state that institutional leadership is a large subset of military leadership. This statement can be proven using a key tenant of military command, namely Mission Command. Mission Command is defined as:

A command philosophy that promotes decentralized decision-making, freedom and speed of action, and command initiative. It entails three enduring tenets: the importance of understanding a superior commander's intent, a clear responsibility to fulfil that intent, and timely decision-making. To exercise mission command, a commander must give orders in a manner that ensures subordinates understand his or her intent, ...; tell subordinates what effect they are to achieve ...; allocate appropriate resources to carry out missions and tasks; and allow subordinates to decide ... how best to achieve their missions and tasks.⁴⁷

Embedded within the definition of Mission Command are the institutional leadership qualities of vision, empowerment, supportive leadership, charismatic leadership, and innovative or lateral thinking. Going forward, the institutional leadership qualities identified in *Leading the Institution* will be used as a singular list of those qualities desirable in the senior military leader.

⁴⁷ Department of National Defence, *Leadership in the Canadian Forces: Leading the Institution . . .*, 156.

CHAPTER 7 – WHEN DOES ONE BECOME A LEADER OF THE INSTITUTION?

Before looking at how CAF assess and promotes its institutional leaders, it is first worthwhile to clearly identify when one begins the transformation into a leader of the institution. It has already been established that senior managers and senior officers are leaders of the institution, but there has been little additional information provided on exactly when one becomes a leader of the institution. Is it a gradual process or does a leader cross a threshold of rank or position and suddenly become a leader of the institution? This chapter will review what academic and military organizations have to say on the topic and compare this against the established CAF view in order to see if it remains extant or requires adjustment.

The works of Bass *et al*

The writings of Bass *et al* offer no direct advice on when one becomes a leader of the institution, but a careful interpretation of the material reveals that institutional leadership begins at the earliest stages of management. Bass and Avolio's *Transformation Leadership and Organizational Culture*, identify three things required before one can be a transformational leader. First, a leader must have power within the organization. It is the job of a transformational leader to influence people and this cannot be done without both personal and positional power. Second, the transformational leader must be part of 'top administration.'⁴⁸ This could be a vice president in a smaller organization or simply the head of a team or department in a larger organization. However, if a leader is to induce

⁴⁸ Bernard M. Bass and Bruce J. Avolio, "Transformational Leadership and Organizational Culture" ... 115.

change in an organization, he must be in a position to approve the new direction. Finally, the transformational leader must have access to resources.⁴⁹ It is the role of the institutional leader to reinforce innovation, implement new direction (often at a cost), and promote or reward positive behaviour.⁵⁰ None of this can be achieved without access to financial or material resources. In a CAF context, power (powers of punishment or authority to approve rewards such as short leave), administration and access to resources occurs at Company and Unit command, namely Major and Lieutenant-Colonel ranks.⁵¹

When Bass *et al* directly apply their research to the military, they do so at all leadership ranks. “Predicting Unit Performance by Assessing Transformational and Transactional Leadership” is focused on Platoon leadership, namely the Platoon Commander and Platoon Sergeant.⁵² Bass *et al* conclude that transformational leadership is predictive of unit success even at the Platoon level.⁵³ When studying leadership in learning organizations, Bass interviewed a number of field grade officers (Majors) about the transformational traits of their superiors (Lieutenant-Colonel and Colonel).⁵⁴ Based on these two works, it is clear that Bass *et al* see transformational leadership being applicable at all leadership levels. However, when seeking insight into transformational leaders, Bass sought out field grade officers (Majors).

⁴⁹ *Ibid.*

⁵⁰ *Ibid.*, 115-116.

⁵¹ This paper will use the Army/Air Force rank system of Major and Lieutenant-Colonel, but it is understood to apply equally to Naval equivalents such as Lieutenant-Commanders and Commanders.

⁵² Bernard M. Bass, “Predicting Unit Performance . . .,” 208.

⁵³ *Ibid.*, 213.

⁵⁴ Bernard M. Bass, “The Future of Leadership in Learning Organizations . . .,” 22.

Military Institutional Leader Documents

The military institutional leadership documents of the U.S, Australia and New Zealand discuss institutional leaders as Colonels and Generals, but make frequent reference to those aspiring to these ranks. *Building Better Generals* captures this nuance when it states that “the United States must redouble efforts to strengthen its current and future military leaders, starting with its corps of generals and admirals, and extending to all those rising to fill these positions.”⁵⁵ Many of the recommendations, including increased professional military education and improved evaluation processes are aimed at the Major or Lieutenant-Colonel rank that have made a minimum 20 year commitment to the armed forces. When reading *The Chiefs*, it is clear that the document is focused on the highest echelons of the ADF; however, one of the recommendations makes it apparent that institutional leadership begins at the Major and Lieutenant-Colonel ranks. The authors recommend that officers at the O4 and O5 (Major and Lieutenant-Colonel respectively) begin to “engage with, contemporary and evolving issues at the strategic level” to prepare them for higher command.⁵⁶ The NZDF Leadership Development Framework identifies transition four, promotion to Lieutenant Colonel at the period where leaders must become transformational and think strategically.⁵⁷ Each nation independently arrived at the conclusion that institutional leadership, in its nascent form, can be attributed to Majors and Lieutenant-Colonels.

Similar to the other nations, *Leading the Institution* states that institutional leaders

⁵⁵ David Barno, *et al*, *Building Better Generals*..., 5.

⁵⁶ Nicolas Jans *et al*, *The Chiefs*..., xiv.

⁵⁷ New Zealand. Institute for Leader Development. “New Zealand Defence Force: Leadership Development Framework...,” 10.

are “all senior officers and non-commissioned officers who serve in key appointments.”⁵⁸ Also, like her allies, Canada adds the caveat that institutional leaders are also “staffs, and others with the abilities and commitment to contribute to CF strategy.”⁵⁹ While the Chief of the Defence Staff at the time, General Hillier, “expect[ed] all senior leaders, whether engaged in formal courses or in independent self-development, to study, incorporate and apply the concepts” of *Leading the Institution*, he also believed that the manual “should be used extensively by all members of the CF,” reflecting that institutional leadership does not simply begin when one becomes a senior officer.⁶⁰ Despite CAF’s view that institutional leadership rests at all levels, the fact remains that when we discuss staff to senior leaders as well as those who may demonstrate the ability to lead at the highest levels, we are focusing on the Major and Lieutenant-Colonel rank bracket.⁶¹

Conclusion

There is no clear cut answer to when an officer becomes a leader of the institution. The military institutional leadership manuals of Canada and her allies are clear that Senior Officers are the current leaders of the institution, but do little to formally address when one transitions into institutional leadership. Bass *et al* would have us believe that institutional leadership can begin at middle management, when one has authority and resources. Interpreting the manuals of Canada and her allies, it would appear that Majors and Lieutenant-Colonels are well on the path to becoming institutional leaders, either as members of a senior leader’s staff or as individual aspiring institutional

⁵⁸ A-PA-005-000/AP-006, *Leading the Institution*, i.

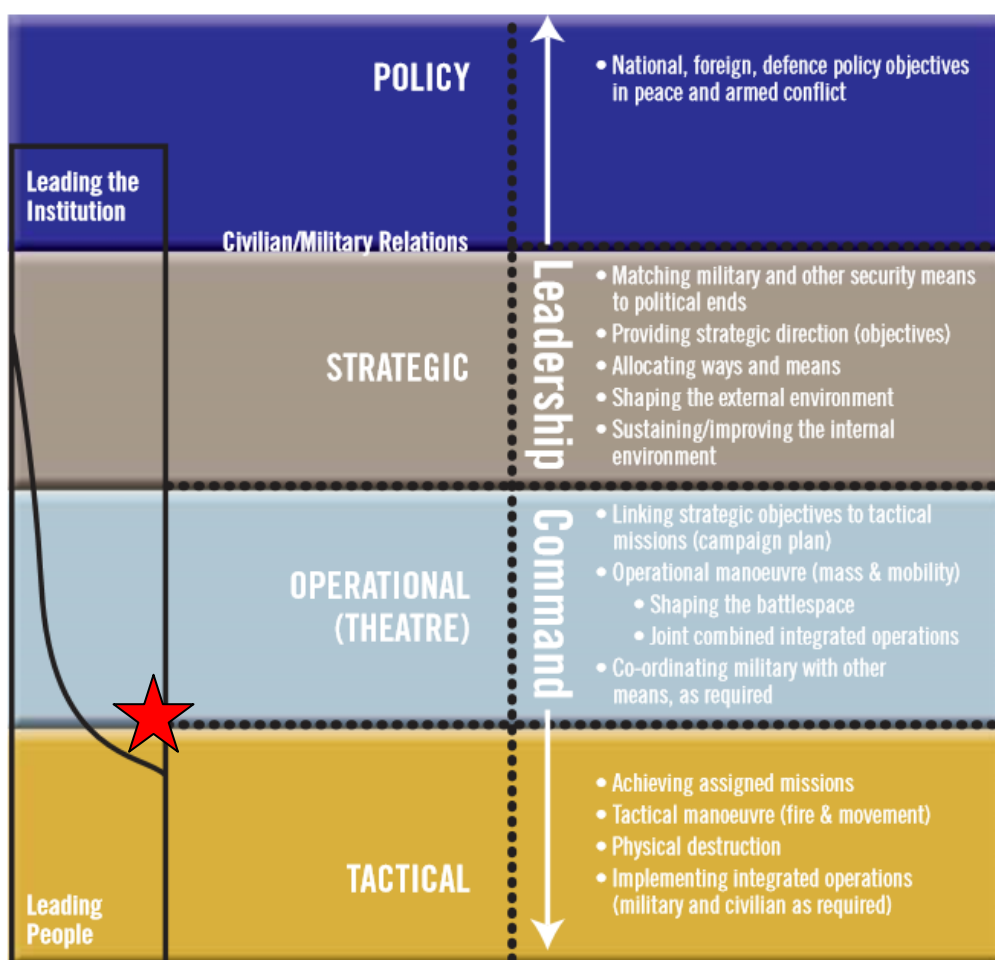
⁵⁹ *Ibid.*

⁶⁰ *Ibid.*

⁶¹ This is equally applicable to CWO’s, but that is not the focus of this work.

leaders. This notion is reinforced by Figure 7.1 below, extracted from *Leading the Institution*, which graphically demonstrates that institutional leadership is prevalent from the Tactical to Strategic level. With the possible exception of Sub-unit and Unit Command, the majority of Majors and Lieutenant – Colonels will find themselves at some point working on operational or strategic level staffs. The transition from being a member of the staff to leading the staff can come quickly and CAF must have leaders with identified strengths in institutional leadership.

Figure 7.1 – CF Leadership and the General System of War and Conflict



Source: A-PA-005-000/AP-006, *Leading the Institution*, 48 (Figure 3.2).

CHAPTER 8 – ASSESSING LEADERS OF THE INSTITUTION

Thus far, it has been established that *Leading the Institution* identifies the key elements of institutional leadership in the CAF. This keystone publication has been compared against both academic writings as well as cross-referenced with our allies and has been found to be an accurate representation of the institutional leadership qualities required to succeed within the Canadian Armed Forces. Concurrently, we have established that Colonels and GOFs are the current leaders of the institution, while Majors and Lieutenant-Colonels are emerging leaders of the institution. We will now examine how we assess current and future leaders of the institution to determine if there is room for improvement.

Assessing Current Leaders of the Institution

Leading the Institution clearly identifies that Colonels and GOFs are leaders of the institution. They are the stewards of the profession, specially selected to lead and guide the institution through future challenges. Accordingly, the Canadian Forces Personnel Appraisal System (CFPAS) has a dedicated Personal Evaluation Report (PER) for these Senior Officers, focused on attributes like visioning, organizational awareness, and networking. A complete list of all factors and their description can be found in Annex A. If Senior Officers are truly leaders of the institution and are accurately assessed as such, efforts to map the qualities of an institutional leader as defined by *Leading the Institution* against the Senior Officer PER should yield significant overlap. Table 8.1 below charts the overlap and provides commentary on the commonality of the two lists.

Table 8.1 – Mapping *Leading the Institution* Against the Senior Officer PER

<i>Leading the Institution</i>	Senior Officer PER ⁶² ,		Commonality	
Stewarding the Profession	Loyalty	Ethics & Values	A Steward of the Profession models the ethics and values of the profession, displays integrity communicates with its members and administers its members.	
		Integrity		
		Communications		
		Administration & Human Resources		
Ensuring Member Well-Being and Commitment		Leadership ⁶³ & Courage	Interpersonal Relationships	Ensuring member well-being and commitment involves the effective administration of subordinates, developing relationships, demonstrating dedication and stamina while creatively addressing emerging concerns.
			Dedication	
			Stamina/Stress Resistance	
	Creativity			
Creating a Vision/ Leading Change			Visioning	Creating a vision and leading change require the senior officer to establish a vision of the future, confidently lead others to achieve the vision while demonstrating flexibility in his approach to others.
			Self Confidence	
			Personality	
		Behavioral Flexibility		
Working the Town			Teamwork ⁶⁴	To effectively ‘Work the Town,’ the senior officer must have behavioural

⁶² Department of National Defence, *Canadian Forces Personnel Appraisal System: Using CFPAS*, electronic file, last accessed: 1 March 2017. Chapter 7. See Annex A for a description of each Senior Officer CFPAS assessment factor.

⁶³ CFPAS Chapter 7. Leadership in this context refers to the “ability to effectively influence appropriate actions/decisions.”

⁶⁴ CFPAS Chapter 7. Teamwork in this context refers to “working collaboratively with military and civilian personnel in DND, and with others in the federal Public Service.”

	Networking	flexibility when building teams and networking with governmental and non-governmental officials. He must be aware of the strengths and shortcoming of his own organization and that of other departments.
	Organizational Awareness	
Military Strategist	Setting Priorities	The military strategist must know his organization, apply his profession and set priorities to achieve institutional aims.
	Professional Skills	
Systems Thinking	Action Management	To be a systems thinker, the senior officer must have the cognitive capacity to see the systems within systems, the professional skills to formulate a plan and the action management to bring resources to bear against the problem.
	Cognitive Capacity	

Reviewing Table 8.1 above, it is clear that the Senior Officer PER accurately captures the essential elements of *Leading the Institution*. All factors are addressed with appropriate levels of overlap. While some could argue that certain factors are misaligned or that such a table is an over simplification, the fact remains that all factors that senior officers are assessed on correlate to institutional leadership qualities derived from *Leading the Institution*. While this level of consistency and continuity is to be expected across the institution; it is nevertheless surprising to see the level of overlap achieved considering CFPAS was introduced 1999 and *Leading the Institution* was not released until 2007.

Assessing Emerging Leaders of the Institution

If we acknowledge that Majors and Lieutenant-Colonels are emerging leaders of the institution, while accepting that leading the institution is an essential element of leading the force, we must now examine how emerging leaders are assessed as they transform into leaders of the institution. Majors and Lieutenant-Colonels are assessed using the PER for Leading Seaman/Corporals (LS/Cpl) to Chief Petty Officer Second Class/Master Warrant Officer and Lieutenant (Navy)/Captain to Commander/Lieutenant-Colonel (Cdr/LCol), hereafter referred to as the Leading Seaman to Lieutenant-Colonel (LS-LCol) PER. This one size fits all PER is designed to capture the performance and potential of the junior members all the way up to unit Commanding Officers, with exceptions made for those undergoing foundational training, namely Privates and Lieutenants. Table 8.2 maps the LS to LCol PER assessment factors against the institutional leader qualities found in *Leading the Institution* to determine if Majors and Lieutenant-Colonels, as emerging institutional leaders, are receiving the feedback necessary to develop into leaders of the institution.

Table 8.2 – Mapping *Leading the Institution* Against the LS to LCol PER

	LS to LCol PER ⁶⁵	<i>Leading the Institution</i>	Commonality
Leadership	Accountability	Stewarding the Profession	A steward of the profession must exhibit the values and ethics of the organization while demonstrating leadership and accountability. However, the concepts of intellectual agility, role modelling and formal statements of institutional
	Ethics and values		

⁶⁵ CFPAS, Chapter 5. See Annex B for a description of each LS/Cpl – LCol CFPAS assessment factor.

			philosophy and policy are missing.
	Supervising	Ensuring Member Well-Being and Commitment	Ensuring member welling being and commitments requires leadership, a knowledge of team dynamics, and the ability to work alone or in groups.
	Dedication		
	Evaluating and Developing Subordinates		
	Team Building		
	Working with Others		
	Leading Change		
	Verbal & Written Communication	Creating a Vision/ Leading Change	Leading change and communication skills are a necessary part of creating a vision and leading change. However, much of Creating a Vision is not captured by the LS/Cpl to LCol PER assessment criteria
	Communication Skills		
	Initiative		
		Working the Town	Working the Town, Military Strategist, and Systems Thinking are not addressed by the LS to LCol PER
		Military Strategist	
		Systems Thinking	
	Problem Solving		While an important part of an officer's or soldier's career, these PER factors represent personal attributes and skills necessary for promotion rather than the qualities designed to enable success at the highest levels of the institution. Elements of each of these LS-LCol assessment factors permeate many of the institutional leadership qualities; however, not in a quantity sufficient to result in a direct correlation.
	Decision Making		
	Effectiveness under Demanding Circumstances		
	Applying job Knowledge and Skill		
	Resource Management		
	Reliability		
	Professional Development		
	Planning and Organizational Skills		

Based on Table 8.2, it is clear that the LS to LCol PER does not accurately assess the institutional leadership qualities desirable in emerging leaders of the institution. While the LS to LCol PER does capture three of six factors identified in *Leading the Institution*, it does not do so to a necessarily significant degree. Additionally, the LS to LCol PER fails to cover half of the institutional leadership factors and contains eight items that either do not directly apply to institutional leadership, are mastered before one begins to lead the institution or are already implied in multiple *Leading the Institution* factors. If we are to effectively assess emerging institutional leaders, it is clear that the LS to LCol PER is not the appropriate tool.

CHAPTER 9 – WHY ASSESS EMERGING INSTITUTIONAL LEADERS?

Before one can definitively state that the LS to LCol PER is not the proper tool to assess emerging institutional leadership, it is necessary to examine a number of counter arguments. First, this chapter will address the fundamental question of why assessments of any sort are necessary within the military institution. Second, this chapter will address why emerging institutional leaders should be assessed using the institutional leadership factors found in *Leading the Institution*. Finally, this chapter will address why the current LS to LCol PER should be modified for Majors and Lieutenant-Colonels. Each section will present a counter argument with substantiation and then a rationale as to why the counter-argument is not applicable in this case.

Why Assess at All?

Massive institutions like Microsoft and Adobe have “moved away from stacked rankings that caused poor morale to a system of managers giving regular feedback to employees on their core priorities....”⁶⁶ Additionally, one large professional services firm, Deloitte, found that, as an organization, it was spending approximately two million hours a year on performance ratings, time better spent servicing their customers.⁶⁷ In his review of leadership, Richard Bolden found that there was often too much focus on the assessment tool rather than a discussion of improving leadership:

When working with frameworks and standards there is frequently a temptation to apply them deductively to assess, select and measure leaders rather than inductively to describe effective leadership practice and

⁶⁶ Jenna Filipkowski, “Talent Pulse,” *No Review, No Problem: Making Talent Decisions without Ratings* (Cincinnati: n.p: 2015), 4.

⁶⁷ Marcus Buckingham and Ashley Goodall, “Reinventing Performance Management,” in *Harvard Business Review*, (April 2015), last accessed 1 March 2017: <https://hbr.org/2015/04/reinventing-performance-management>

stimulate debate. With an increasing awareness of the emergent and relational nature of leadership it is our opinion that the standards approach should not be used to define a comprehensive set of attributes of effective leaders, but rather to offer a 'lexicon' with which individuals, organisations, consultants and other agents can debate the nature of leadership and the associated values and relationships within their organisations.⁶⁸

With performance appraisals contributing to poor moral and consuming numerous productive hours, there is a solid argument for their elimination. With many organizations moving away from formal performance appraisals, this paper could have as easily argued for the elimination of the Canadian Forces Performance Appraisal System than for its modification to accommodate emerging institutional leaders

However, the CAF must maintain a performance appraisal system if it is to maintain credibility among its members. *Leading the Institution* tells us that Stewards of the Profession "recruit, select and promote members in accordance with observed criteria"⁶⁹ For promotions to be seen as fair and transparent, they must be based on measurable and observable criteria such as those found in the CFPAS. Receiving feedback on "core priorities" or using a "'Check-In' framework" as advocated by Buckingham and Goodall⁷⁰ is insufficient to chart progress through the six assessed NCM ranks and seven assessed Officer Ranks. Simply put, the pace of promotion for those wishing to excel to the highest positions of authority is such that a detailed and measurable system of promotions is required to ensure common expectations and clear requirements for progression. This measurable progression is even more important when you consider that the CAF develops leaders of the institution exclusively from within as

⁶⁸ Richard Bolden, *What is Leadership?...*, 16.

⁶⁹ A-PA-005-000/AP-006, *Leading the Institution*, 14.

⁷⁰ Marcus Buckingham and Ashley Goodall, "Reinventing Performance Management..." 4.

“there are no opportunities for lateral entry from outside.”⁷¹ There is no stealing away a Chief of Defence from another nation to lead CAF, nor can an outstanding CEO be expected to lead the fighting forces of a nation.

Why Assess Emerging Institutional Leaders Using *Leading the Institution*?

It can be argued that the current PER system has produced effective leaders of the institution and, as such, serves the purpose of assessing emerging institutional leaders. As such, there is no requirement to change how we assess Majors and Lieutenant-Colonels. Further, some may argue that the rank of Major or Lieutenant-Colonel is too soon in an officer’s career to begin assessing institutional leadership traits. The argument is that Majors and Lieutenant-Colonels are focused on leading their subordinates in tactical situations and not focused on leading the institution. This argument is reinforced by the literature of Canada and her allies that identify leaders of the institution existing at all levels, but primarily the purview of Colonels and Generals.

While these arguments are valid, they fail to offer practical guidance on how to develop institutional leadership as one progresses through the ranks. The idea that the system has not failed yet is an insufficient reason not to seek improvement. As the adage goes, ‘even a broken clock is right twice a day.’ An officer is not magically granted all the skill sets necessary to achieve effective institutional leadership once promoted to Colonel, these qualities must be developed over time. It is too late when once one has reached the rank of Colonel to determine if they have the capacity to lead the institution; they are, by virtue of ranks and position, already leaders of the institution. *Leading the Institution*

⁷¹ David Barno, *et al*, *Building Better Generals*, 8.

acknowledges this when it states that “tactical leaders affect the institution through their behaviour and sometimes through their actions Therefore, there is always an element of institutional leadership possible here [at the tactical level].”⁷² Before a future Colonel or General is placed in a position to influence the entire institution, a formal assessment of their potential to lead the institution would be extremely beneficial to the senior officers deciding future placements.

Why Modify the LS to LCol PER to Accommodate Emerging Leaders of the Institution?

By accepting that emerging institutional leaders need to better understand the institution they will lead, one does not necessarily have to accept that the existing appraisal system for these officers needs to be modified. One may argue that the same effect could be achieved by including institutional leadership in a Major’s or Lieutenant-Colonel’s training. Indeed, this hypothesis is supported by the recent structural changes to the Joint Command and Staff Programme (JCSP) Course with its Institutional Policy Studies stream designed to examine “key institutional components, such as personnel management, resource management, capability development, project management and CF policies.”⁷³ It would appear that CAF sufficiently addresses institutional leadership and further assessment is unnecessary.

A simple rebuttal to this argument comes in the form of *Pearson’s Law*. Pearson’s Law states: “When performance is measured, performance improves. When performance

⁷² A-PA-005-000/AP-006, *Leading the Institution*, 46.

⁷³ Canadian Forces College, “Syllabus: Canadian Forces College (CFC) Joint Command and Staff Programme Residential (JCSP RESID) and Joint Command and Staff Programme Distance Learning (JCSP DL),” last accessed 3 March 2017: <http://www.cfc.dnd.ca/118/315/cfc300-42-eng.pdf>.

is measured and reported back, the rate of improvement accelerates."⁷⁴ If leadership of the institution is as important as the authors of *Conceptual Foundations* and *Leading the Institution* would have us believe, then it follows that an accurate assessment tool of institutional leadership must be created. Following *Pearson's Law*, the sooner we begin assessing institutional leadership, the more time we provide for officers to develop those qualities that are desirable in leaders of the institution. Based on previous analysis in this paper, that initial rank has been determined to be the rank of Major. The Joint Command and Staff Programme syllabus would lead us to believe this is the rank at which to begin the professional study of institutional leadership, so it follows that it is the rank to begin assessing institutional leadership.

⁷⁴ Karl Pearson *attributed* as referenced in "Positioning Systems Blog: Pearson's Law," last accessed 27 February 2017, <http://positioningsystems.com/blog.php?entryID=67>.

CHAPTER 10 – RECOMMENDATIONS

Introduction

If the leaders of CAF as an institution must come from within⁷⁵ and it is the responsibility of senior leaders to lead the institution, then it follows that the selection development and assessment criteria of future senior leaders, namely Majors and Lieutenant-Colonels must include elements of institutional leadership. This, however, is not the case. Majors and Lieutenant-Colonels are assessed using the same factors as the Corporals/Leading Seamen whom they supervise and not the factors of Colonels and Generals whom they aspire to become. Additionally, officers are not formally exposed to institutional leadership until Development Period 4 (DP 4) when they are already leaders of the institution. Consequently, this chapter will provide recommendations for both the assessment and development of emerging leaders of the institution.

Assessment of Emerging Institutional Leaders

When it comes to the assessment of emerging institutional leaders, it is clear that the existing LS – LCol per is insufficient. When both the LS-LCol PER and the Senior Officer PER are mapped against the Institutional leadership traits found in *Leading the Institution* it is clear that the Senior Officer PER is better designed to assess institutional leadership. The factors in the LS-LCol PER partially map against the institutional leadership factors of *Stewarding the Profession, Ensuring Member Well-Being and Commitment* and *Creating a Vision / Leading Change*; however, fail to adequately account for the other three aspects of institutional leadership: *Working the Town, Military*

⁷⁵ David Barno, *et al*, *Building Better Generals*, 8.

Strategist, and *Systems Thinking*. By comparison, the Senior Officer PER maps nicely against all elements of institutional leadership with at least two factors that touch on each element of *Leading the Institution*. As the CAF looks to produce a new Performance Appraisal System designed to replace CFPAS, Recommendations 1 and 2 will address this shortcoming.

Recommendation 1 – Combine Assessment Factors of Existing LS – LCol PER

Any element included in a new PER for Majors and Lieutenant-Colonels should be offset by a reduction in assessment criteria in the existing PER, lest the system become too burdensome for supervisors. This may be accomplished by combining factors in the existing PER to better reflect the tasks completed by Majors and Lieutenant-Colonels. The existing LS-LCol PER contains elements that Majors and Lieutenant-Colonels should continue to be assessed on, however, which could be captured in a more inclusive term in the interest of brevity. It has been the author's experience that many Performance and Potential criteria are scored within one 'bubble' of each other unless a significant performance or potential shortcoming has emerged. Put more directly, individual scoring follows a pattern that yields an aggregate of Skilled, Exceeded the Standard, Mastered, *etc.* Additionally, with 16 performance and 6 potential factors but only a combined total of 18 lines of text to capture a year's worth of performance, aggregation of factors has become and will continue to be the norm. Aggregating of the actual performance and/or potential factors would yield the same result while significantly reducing the number of criteria to be assessed or commented on.

The LS-LCol PER factors of *Supervising, Dedication, Evaluating and Developing*

Subordinates, Team Building, Working with Others and *Leading Change* could be aggregated and reflected in a more inclusive term such as *Developing Team Dynamics*. This new performance factor would focus on Majors and Lieutenant-Colonels equally as a member of a team or the leader of a team. Within the context unit or sub-unit command, this term would capture a Major's or Lieutenant-Colonel's ability to create effective command teams from the sub-sub-unit (Platoons) level all the way to the unit level. At the Major and Lieutenant-Colonel level, the ability to develop leadership teams is as important as individual leadership. When a Major or Lieutenant-Colonel is not in direct command, this term would capture their leadership or participation in the larger institutional team. *Developing Team Dynamics* would capture the reality that, at the institutional level, it is as important to be a good team member as it is to be a good team leader.

The LS-LCol PER factors of *Verbal & Written Communication, Communication Skills, Applying job Knowledge and Skill, Resource Management and Planning and Organizational Skills* could be captured in a term such as *Leading or Contributing to the Staff*. This term would focus on the Major and Lieutenant-Colonel as a participant in the creation and communication of a plan. Elements could include working or leading a plan development team either as unit or sub-unit commander or as a member of the institutional staff. Included in this criterion would be the art of Staff Work reflected in the quality of written and verbal presentations by the Major or Lieutenant-Colonel, a key factor in the indirect leadership required for higher level institutional leadership.

Ethics and Values and *Accountability* should remain untouched, but the assessment criteria could be refined to better reflect emerging institutional leadership in

Majors and Lieutenant-Colonels. *Operation Honour* has served to remind us that accountability and ethical behaviour cannot be assumed to be mastered as one advances to the upper echelons of the institution. The institutional leader is not only responsible for their own behaviour, but that of those they directly command and indirectly influence. As the CDS states in the Operation Order for Operation Honour, “[h]armful and inappropriate sexual behaviour is a real and serious problem for the CAF which requires the direct, deliberate and sustained engagement by the leadership of the CAF and the entire chain of command to address.”⁷⁶ *Ethics and Values and Accountability* should have their level of expectation modified to include the role of the leader as one who modifies the behaviours of subordinates to ensure it fits within the expectations of the profession.

Recommendation 2 – Add New Criteria to Capture Institutional Leadership

While the existing PER is too generic to assess emerging leaders, wholesale adoption of the GOFO PER would result in a strategic look at a group of officers who still have a largely tactical focus. Balance can be found in combining elements of the GOFO PER with the existing LS – LCol PER. However, with 16 Performance Factors and 6 Potential Factors in the LS – LCol PER and 14 Leadership Factors and 11 Potential Factors in the GOFO PER, there are simply too many items to report on. The previously mentioned solution reduces the number of LS – LCol assessment factors. The same can be applied to the elements of the GOFO PER. This can be achieved by using the groupings found in *Leading the Institution* which already encapsulate several factors

⁷⁶ Vance, General J. *CDS Op Order – Op HONOUR*. (National Defence Headquarters: Ottawa, ON), 14 August 2015, 2/16 – 3/16. Retrieved from <http://www.forces.gc.ca/en/caf-community-support-services/cds-operation-order-op-honour.page>.

from the GOFO PER in more generic terms. In particular, the following elements of *Leading the Institution* would be of value to a new PER for Majors and Lieutenant-Colonels: *Creating a Vision/Leading Change*, *Working the Town*, *Military Strategist*, and *Systems Thinking*.

The institutional leadership element of *Creating a Vision/Leading Change*, which is reflected in the Senior Officer criteria of *Visioning*, *Self Confidence*, *Personality* and *Behavioral Flexibility* focus on the leader as a dynamic force within the institution. A term such as *Dynamic Leadership* or *Inspiration* could be used to capture the role of the emerging institutional leader as a central figure whom others aspire to become and work harder for. The application of this criterion to unit and sub-unit command is reflected in the passion a commander brings to bear and with which he or she is followed. This factor remains equally applicable to staff employment. As a leader of a staff team, the Major or Lieutenant-Colonel needs to be the model of professional competence and clearly articulate how the team contributes to the larger goal. As a member of a staff team, the Major or Lieutenant-Colonels must have the strength of character to stand up for their convictions or reorient the team should it go off topic or follow bad information. This assessment criterion would be an effective way to formalize the professional and personal authority an emerging leader brings to bear.

Similarly, the institutional factors of *Working the Town* and *Military Strategist* covered by the Senior Officer factors of *Behavioral Flexibility*, *Teamwork*, *Organizational Awareness*, *Networking*, *Setting Priorities* and *Professional Skills* could be addressed in the term *Understanding the Institution*. This term would reflect the responsibility of Majors and Lieutenant-Colonels, as emerging institutional leaders, to

develop a comprehensive understanding of CAF as an institution and their role within it. Specialized trade knowledge, skill at arms, and trade/arms specific stove-pipes would begin to give way to the needs of the institution as a whole. Additionally, this criterion captures the fact the working The Centre is a complicated process fraught with frustration and for which not all officers are cut out. This criterion would provide assessors with a dedicated location to record and comment on the ability of the Major or Lieutenant-Colonel to excel within the institution or remain as supporting staff.

Finally, the institutional leadership concept of *Systems Thinking* could be adopted wholesale. The term accurately captures the requirement to think of problems from multiple angles and points of interaction and develop solutions that incorporate the greatest possible solution set. Not every officer will understand that “dynamic relationships within and among systems are more important than linear cause-and-effect chains.”⁷⁷ More simply put, some officers cannot comprehend that $A + B$ will not always equal C . The adoption of this criterion would enable assessment of those Majors and Lieutenant-Colonels who intrinsically understand that wicked problems do not have simple solutions, regardless of what may play out in the media. An officer with this skillset would understand that few solutions address all of the factors, but all solutions must address the critical factors and include a personnel dimension if they are to be successful. *Systems Thinking* marks the difference between paper solutions and real-world solutions.

While the above list is not exhaustive, it demonstrates that some elements of the existing PER can be grouped or reworded to reduce the number of factors while making

⁷⁷ A-PA-005-000/AP-006, *Leading the Institution*, 31.

room for adoption of some elements of the senior officer PER. The 16 performance criteria and 6 potential criteria of the existing LS-LCol PER reflect individual leadership and ability with little focus on the greater institution. While the existing LS-LCol PER does not ignore institutional factors, it is heavily weighted towards leadership **within** the institution rather than leadership **of** the institution as seen in the Senior Officer PER. If Majors and Lieutenant-Colonels are to become leaders of the institution, they must be assessed as leaders of the institution and not simply leaders within the institution. The first step is assessing these emerging leaders against the right criteria.

Development of Emerging Institutional Leaders

A variety of studies with titles such as *The CF Executive Development Programme - A Concept for Development Period 5: The CF Officer Professional Development System*⁷⁸ and *The Report of the Officer Development Period 4/5 Review Working Group*⁷⁹ have challenged the assumption that “the cumulative effect of an officer’s military education and experience is adequate preparation for their role as an institutional leader.”⁸⁰ In each case, the senior officers conducting the review have proposed increased education of future senior officers. What these studies have lacked is efforts focused on building institutional leadership capabilities among more junior officers. Recommendations 3 and 4 of this paper will provide practical methods of developing institutional leadership among more junior members while providing senior officers a way to supervise and mold the careers of emerging leaders of the military

⁷⁸ LGen (Ret’d) M. Jeffery, *The CF Executive Development Programme - A Concept for Development Period 5: The CF Officer Professional Development System*, n.p: 2008.

⁷⁹ N.a, *The Report of the Officer Development Period 4/5 Review Working Group*, n.p: n.d.

⁸⁰ LGen (Ret’d) M. Jeffery, *The CF Executive Development Programme...*, 3.

institution.

Recommendation 3 – Early Exposure to the Strategic Level

While this paper has argued that Majors and Lieutenant-Colonels are emerging leaders of the institution, it remains cognizant of the fact that Colonels, and more importantly, GOFOs are the actual leaders of the institution. To devolve actual institutional leadership complete to a Major or Lieutenant-Colonel would be courting potential disaster as they are *emerging* leaders of the institution. Nevertheless, if Majors and Lieutenant-Colonels are to become eventual leaders of the institution, they must be provided with early and frequent access to institutional leaders and the opportunity to witness institutional leadership in action.

One method to increase institutional leadership exposure among selected officers, which is currently in place, is through assignment as either a junior member of a strategic issue team or as the personal / executive assistant to a leader of the institution. The young captain selected to be the Adjutant of the Strategic Joint Staff should be encouraged to begin understanding the strategic / institution wide issues at play within the organization, rather than viewing themselves as the administrator for a group of senior officers. Similarly, the Major serving as the Personal Assistant to a General Officer was selected for his or her intelligence and potential to excel. Relegating them to notetaking and travel arrangement is a lost opportunity. Formalization of the roles and responsibilities of many of these deep select positions with a focus on the development of strategic thinking and institutional exposure would help codify a process that has been in place for generations.

As second method of increasing institutional exposure would be a deliberate

engagement of emerging institutional leaders in a focused information and feedback session on a topic of institution wide importance. This process would see emerging institutional leaders assembled, presented with a problem, provided context for the issue, provided access to subject matter experts and left to see what factors they identified and potential solution sets they proposed. The ADF proposed a similar approach aimed at officers at the O4 and O5 (Major and Lieutenant-Colonel respectively) who would begin to “engage with, contemporary and evolving issues at the strategic level.”⁸¹ A Canadian precedent exists with the Institutional Policy Studies stream of JCSP where Majors are given an institutional topic to address. A similar format could be applied forces wide with the dual perspective of provided institutional exposure at junior ranks while providing current leaders of the institution with potential differing perspectives on an issue they are currently grappling with.

Recommendation 4 – Bridge the Education Gap between DP 3 and DP 4

The final recommendation of this paper is to formally address the education gap between DP 3 and DP 4. DP 3 is marked by the mastering of trade related proficiencies. Courses at the DP 3 level are the Combat Team Commander Course for the Combat Arms, Advanced Logistics or Advanced RCEME⁸² for supporting trades or a variety of other formal and informal courses designed to create experts within a given field. The culminating course for DP 3 is JCSP, a course designed to “to prepare selected senior officers of the Defence Team for command and/or staff appointments in a contemporary operating environment across the continuum of operations in national and international

⁸¹ Nicolas Jans *et al*, *The Chiefs...*, xiv.

⁸² Royal Canadian Electrical and Mechanical Engineer Branch.

settings.”⁸³ Comparatively, DP 4, achieved through the National Security Programme (NSP) is “designed to prepare participants for employment as strategic-level leaders and managers, and to prepare military officers as operational-level joint task force commanders and senior staff.”⁸⁴ Assessors of future candidates for DP 4 have a difficult task selecting those who can excel at the institutional level considering their subordinates are trained to operate only within the “contemporary operating environment”⁸⁵ and are assessed using the same criteria as a Cpl. To bridge the education gap and provide assessors with additional insights into the capabilities of their subordinates, the following additional education requirements could be imposed on emerging leaders of the institution.

First, a proven capability building activity already in use across the institution is the required (or recommended) reading list. Many units and headquarters have a Commanding Officer’s reading list which members of the unit are encouraged to read in order to become better officers, tacticians or military professionals. Indeed CAF has produced *The Chief of the Defence Staff Guide to Professional Reading*,⁸⁶ a recommended reading list with well over a hundred titles. However, a reading list without a method to determine the impact of the education on the officer is simply an academic endeavour. While there is merit to academic endeavours, to advance the profession of arms, the reading list must have a measurable output.

The output could be measured in the form of professional writing on topics within

⁸³ Canada, Department of National Defence, *Programmes and Qualifications – Officers*, last accessed 2 May 2017: <http://www.forces.gc.ca/en/training-prof-dev/officer.page>.

⁸⁴ *Ibid.*

⁸⁵ *Ibid.*

⁸⁶ Link found here: http://www.journal.forces.gc.ca/vol14/no3/PDF/CDS_Guide_to_Personal_Reading.pdf.

the CDS reading list. For many professionals within a field, the requirement to be published is essential. This could be equally applicable to CAF officers. For an officer to demonstrate the ability to think beyond his training, the requirement to advance the body of knowledge surrounding the profession of arms should be instituted. An added advantage to this approach would be that reading the published works of an aspiring institutional leader would provide current leaders of the institution with the ability to understand the thought process of emerging leaders. A secondary effect of reading the published works of an emerging institutional leader is that future supervisors would be able to determine suitable fields within which the member could excel.

CHAPTER 11 – CONCLUSION

After leading the institution, arguably the most important task of a senior officer is the development of future leaders of the institution. To develop leaders of the institution, it is necessary to understand those criteria that are essential to leadership within the military institution. A-PA-005-000/AP-006 *Leadership in the Canadian Forces: Leading the Institution* provides that understanding for the Canadian Armed Forces. This paper validated the elements of that publication through a comparison to academic literature and the leadership publications of other nations and *Leading the Institution* withstood the critical review. During the review, it became apparent that there were factors that transcended academic views of leadership with the pragmatic view of Canada and her allies. This led to a review of how institutional leaders were assessed in Canada.

The review of practical assessment of CAF institutional leaders validated the Colonel and GOFO PER however; it revealed significant flaws in the LS – LCol PER. A detailed comparison of the institutional leadership qualities in *Leading the Institution* against the LS – LCol Per revealed that three of the six institutional leadership factors were not addresses and the three that were addressed, were incomplete. It was readily apparent that the LS – LCol PER was not serving senior leadership in assessing emerging leaders of the institution. To rectify this gap, recommendations were provided to address the missing elements for assessment of Majors and LCol, emerging leaders of the institution.

In addition to modification to the existing PER, it was identified that development

of institutional awareness and capability among Majors and LCol's would aid in future assessment and employment of these officers. Recommendations in this area were focused on early exposure to institutional leadership and topics in order to develop a lifelong focus and understanding of institutional leadership factors. Additional recommendations were made to formalize learning and institute a requirement to publish works on topics of interest to the institution. This requirement would increase the academic rigor of our most senior leaders while increasing the body of knowledge surrounding military institutional topics. This proposal had the added benefit of providing leaders of the institution with a glimpse into possible area of focus for emerging leaders.

This paper was designed as *food for thought* for CAF leadership as several initiatives come to fruition at the same moment in time. As CAF prepares to release a new performance appraisal system, the elements of institutional leadership which must be assessed at the rank of Major and Lieutenant Colonel are clearly identified herein. Additionally, as CAF reviews and changes how it educates its most senior officers through the Officer DP 4/5 Review Working Group⁸⁷ this paper has provided a few methods of incorporating institutional leadership elements throughout an officer's career and not at a fixed point in time. The sooner and more often a leader thinks about leading the institution, the better served the institution will be.

⁸⁷ The Report of the Officer Development Period 4/5 Review Working Group is a subset of the Canadian Armed Forces Professional Development System Study.

Annex A - CFPAS Performance / Potential Assessment Factors: Senior Officers

Leadership Assessment⁸⁸

Cognitive Capacity: CF Senior Officers perceive, understand and process the information that is inherent in their work. This processing includes focusing on, organizing analyzing and synthesizing information and exercising judgment. Cognitive capacity is the basis of common sense, problem-solving, both preventative and responsive and the development of short-, medium- and long-term plans.

Creativity: The changing strategic defence environment brings new types of challenges. CF Senior Officers generate innovative, imaginative solutions by adapting and expanding conventional methods, integrating intuition, non-linear thinking, fresh perspectives and information from non-traditional fields. CF Senior Officers create an environment that fosters creativity. As well, they personally pursue and promote continuous learning and improvement in their organizations

Visioning: The work of the Public Service and the Canadian Forces is guided by its vision. CF Senior Officers play a strong role in shaping the vision of the Department and the Canadian Forces, while interpreting and implementing the vision of the Public Service and the objectives of the Government. They align their organizations with the broader vision and promote enthusiasm and commitment to the vision.

Action Management: CF Senior Officers make things happen, accomplishing strategic objectives to ensure that the Canadian public is ultimately well served. They prioritize their work and time, and use all resources at their disposal to meet objectives in an effective and efficient manner.

Organizational Awareness: CF Senior Officers understand the structures, relationships, processes and stakeholders in their work environment including the Canadian Forces, the chain of command, other federal Public Service organizations, various levels of government, international governments, the private sector, and professional organizations. CF Senior Officers strive to keep their organizational awareness comprehensive and current. This understanding, coupled with an awareness of relationships among key players, formal and informal agendas, and organizational cultures, allows CF Senior Officers to position their organizations to achieve immediate and future objectives. The organizational awareness of CF Senior Officers concerning the broader Public Service and the political environment represents a unique contribution to advancing the defence vision and agenda.

Teamwork: CF Senior Officers recognize that military and civilian personnel are all personnel of the defence team. Accordingly, they contribute actively and fully to team projects by working collaboratively with military and civilian personnel in DND, and

⁸⁸ CFPAS, Chapter 7, Annex A.

with others in the federal Public Service (e.g., the unions). CF Senior Officers develop and maintain respectful, cooperative working relationships with team personnel, capitalizing on the diversity of experience and knowledge that enhance a team's work.

Networking: CF Senior Officers work with partners outside the federal Public Service to advance the defence vision and agenda. Partners share common goals, solve common problems, and work hand in hand for the common good, not simply of the partners but most importantly of the Canadian public

Interpersonal Relations: CF Senior Officers interact effectively with individuals from the private sector as well as the public sector, including superiors, peers and subordinates, whether they be civilian or military. Their interactions are based on respect and an appreciation that people with varying backgrounds and viewpoints enrich the organization. CF Senior Officers resolve difficult and complex interpersonal situations using approaches and resources that are consistent with the values of integrity, loyalty, moral courage, honesty, fairness and responsibility. For CF Senior Officers, interpersonal skills are not simply social graces; they are means of achieving important objectives for DND and the Canadian Forces.

Communication: CF Senior Officers recognize that, to be effective, communication needs to be a two-way process, whether with subordinates, superiors, varied stakeholders or political officials. Accordingly, they listen attentively to others, seeking in-depth and comprehensive understanding. They also provide others with the type and level of information needed. CF Senior Officers communicate with impact. Adapting their communication to the needs of different audiences, they use varied communication vehicles to gain and sustain understanding of and support for the work of the organization.

Stamina/Stress Resistance: In facing strenuous demands and prolonged exposure to stressors, CF Senior Officers resist stress and remain energized. They are realistic about their own limits and the limits of their organizations, and they use and promote effective stress reduction and coping strategies. CF Senior Officers respond to early signs of burnout in themselves and their organizations to ensure that energy reserves remain high over the long term.

Ethics and Values: CF Senior Officers treat others with dignity, act in the interest of the Canadian public and obey and support lawful authority. They exemplify the organization's values of integrity, loyalty, courage, stewardship and excellence.

Personality: Maintaining focus and composure, as well as commitment and drive, CF Senior Officers pursue a standard of excellence for themselves and their organizations. They are motivated by the challenge of protecting and serving the public good. The essential aspect of Personality for CF Senior Officers is the absence of characteristics such as arrogance, vindictiveness, timidity and discouragement that can negatively affect the workplace.

Behavioural Flexibility: CF Senior Officers adjust their behaviour to the demands of a changing work environment in order to remain productive through periods of transition, ambiguity or uncertainty. Behavioural Flexibility allows CF Senior Officers to function effectively in a broad range of situations, and with varied people, and groups. As work contexts and roles change, they adapt to the characteristics of particular situations, acquiring new, more effective behaviours, and discarding other less effective actions.

Self-Confidence: CF Senior Officers possess realistic self-confidence. Being self-directed, they speak truth to power. They also take calculated risks as well as ownership for their decisions and recommendations.

Potential for Progression⁸⁹

Leadership: Consider ability to effectively influence appropriate actions/decisions; face problems with confidence and assurance; inspire respect from subordinates and superiors alike.

Judgement: Consider demonstration of wisdom, skill, good sense, understanding and discernment when making sound judgments based on knowledge and experience.

Courage: Consider ability to face and act on physical or moral challenges, with determination and strength of character. Consider ability to take ownership of rules, regulations and policies, and displaying the courage and conviction to implement and enforce them.

Dedication: Consider how through his/her actions, displays complete dedication to subordinates, superiors and the organization alike. Also, consider the ability to balance service requirements and personal needs.

Integrity: Integrity can be interpreted as behaviour with a strict code of values, morals and honesty. Consider ability to make decisions and act without compromising existing standards and expectations.

Loyalty: Loyalty is a commitment of support to the organization, superiors and subordinates. Consider possession of, and ability to demonstrate and inspire loyalty within the organization.

Communication: Consider ability to communicate in both written and verbal form, with credibility and confidence. i.e. communicates honestly, openly, forcefully and effectively.

Setting Priorities: Consider ability to identify and rank priorities, to select a proper course of action to achieve positive results when confronted with multiple tasks and responsibilities.

⁸⁹ CFPAS, Chapter 7, Annex B.

Professional Skills: Consider ability to promote and apply his/her professional skills and ability to work in a multi environment forum, maintaining the highest standards of professional military excellence. Consider aptitudes for senior appointment.

Administration: Consider ability to effectively interpret and apply administrative and logistical procedures.

Human Resources Management: Consider ability to promote welfare, enforce good order and discipline, and inspire esprit de corps within the organization. Is he/she proactive and does he/she provide advice to effectively influence HR issues? Is he/she effective in resolving HR issues that go beyond organizational boundaries?

Annex B – CFPAS Performance and Potential Assessment Factors: LS - LCol

Performance⁹⁰

Supervising

- directing the work of subordinates
- setting and enforcing standards and ensuring completion of work
- maintaining discipline by ensuring subordinates comply with CF policies, regulations, and orders
- knowing subordinates and promoting their welfare

Evaluating And Developing Subordinates

- providing continuous feedback for development
- conducting PDR interviews with subordinates
- providing opportunities for improvement
- encouraging and guiding professional development of subordinates
- judging subordinates' performance and potential

Team Building

- understanding the unique capabilities of each team person and employing them appropriately
- promoting cooperation and group cohesion

Leading Change

- being receptive to change
- communicating change to subordinates
- participating in the change process
- implementing change initiatives

Working With Others

- respecting others
- contributing to team performance and supporting team goals
- willingness to use appropriate interpersonal conflict resolution methods including Alternate Dispute Resolution

Problem Solving

- evaluating and interpreting information
- generating solutions and plans

⁹⁰ CFPAS, Chapter 5, Annex A.

- willingness to consider innovative solutions

Decision Making

- selecting an appropriate course of action
- taking calculated risks
- taking action

Effectiveness Under Demanding Circumstances

- performing effectively under intense, adverse, or dangerous conditions

Initiative

- with minimal or no direction, taking appropriate action
- being a self-starter

Verbal Communication

- speaking in different settings
- understanding and interpreting verbal orders, information, advice and feedback

Written Communication

- content and quality of writing
- understanding and interpreting written information

Applying Job Knowledge / Skills

- performing duties and tasks in accordance with applicable NCM, officer, and MOS specifications

Resource Management

- understanding logistical systems and administration and applying this knowledge
- ensuring security and the safe use of resources
- using resources economically and efficiently

Accountability

- acceptance of areas of responsibility
- being answerable for personal decisions and actions and for the decisions and actions of subordinates

Reliability

- dependability, consistency, timeliness, quantity, and quality of work

Ethics and Values

- perform work in an ethical manner
- lead in an ethical manner
- reflect, at a minimum, the CF's ethical values of integrity, loyalty, courage, stewardship and excellence
 - Integrity - Acting at all times with integrity, and in a manner that will bear the closest public scrutiny; an obligation that may not be fully satisfied by simply acting within the law. Never using their official roles to inappropriately obtain an advantage for themselves or to advantage or disadvantage others. Taking all possible steps to prevent and resolve any real, apparent or potential conflicts of interest between their official responsibilities and their private affairs in favour of the public interest. Acting in such a way as to maintain DND's and the CF's trust, as well as that of their peers, supervisors and subordinates. Adhering to the highest ethical standards, communicating and acting with honesty, and avoiding deception. Being dedicated to fairness and justice, committed to the pursuit of truth regardless of personal consequences.
 - Loyalty - Loyal carrying out the lawful decisions of their leaders and supporting Ministers in their accountability to Parliament and Canadians. Appropriately safeguarding information and disclosing it only after proper approval and through officially authorised means. Ensuring that all personnel are treated fairly and given opportunities for professional and skills development.
 - Courage - Facing challenges, whether physical or moral, with determination and strength of character. Making the right choice amongst difficult alternatives. Refusing to condone unethical conduct. Discussing and resolving ethical issues with the appropriate authorities.
 - Stewardship - Effectively and efficiently using the public money, property and resources managed by them. Considering the present and long-term effects that their actions have on people and the environment. Acquiring, preserving and sharing knowledge and information as appropriate. Providing purpose and direction to motivate personnel both individually and collectively to strive for the highest standards in performance. Ensuring resources are in place to meet future challenges.
 - Excellence - Continually improving the quality of policies, programmes and services they provide to Canadians and other parts of the public sector. Fostering or contributing to a work environment that promotes teamwork, learning and innovation.

Providing fair, timely, efficient and effective services that respect Canada's official languages.

Potential⁹¹

Leadership

- emphasize leadership capabilities demonstrated in working with superiors, peers and subordinates; and
- consider appropriateness of leadership styles to situations, tasks, and individuals. Consider appropriateness of conflict resolution style, knowledge, and ability in different situations and with different individuals. With increasing rank, it becomes necessary to employ a wider variety of leadership styles and to become more competent at applying these leadership techniques in diverse settings. In addition, supervisors must be prepared to assume a greater role in developing subordinates by becoming aware of a wider variety of career options available to them and, through counseling and assistance, help them achieve personal goals.

Professional Development

- emphasize effort to identify and address personal strengths and weaknesses and to develop professional knowledge in light of expectations at the next rank; and
- consider evidence that the individual is attempting to enhance knowledge or skills through self-study initiatives and military or civilian courses. In addition, the person accepts tasking that will prepare him/her for the responsibilities of the next rank.

Communication Skills

- emphasize verbal and written abilities equally, as they are important at every level of leadership. Efforts to improve reading, writing, listening, and speaking skills are important determinants of communication potential;
- consider other indicators such as:
 - clarity and accuracy of verbal and written communications,
 - willingness to read and reading comprehension,
 - attentiveness when listening to others or receiving instructions, and
 - interpretation and reaction to verbal and written instructions.

⁹¹ CFPAS, Chapter 5, Annex A.

- realize that as personnel progress in rank, they will be required to handle increasingly complex writing tasks and more frequently encounter situations where they must employ the full extent of their verbal abilities, for example, when making presentations or supporting their ideas to individuals or groups.

Planning and Organizational Skills

- emphasize the potential to deal with increasing amounts of information from various sources, solve problems of increasing complexity, develop innovative solutions, and select and implement the best course of action; and
- consider all aspects of work, training, and operations. Realize that the ability to handle challenges, balance increasing workload, and tolerate higher degrees of difficulty and complexity become more important with increasing rank.

Administration

- emphasize administrative conscientiousness and willingness to develop knowledge of administration and logistical systems; and
- consider accuracy, timeliness, and thoroughness of administrative activities and resource management. Willingness to research and seek advice assumes greater importance at higher ranks as failure to do so will have a serious impact on subordinates and the CF.

Dedication

- emphasize the individual's dedication towards service in the CF; and
- consider whether the individual gives the CF high priority in relation to self-interests and the amount and frequency of extra effort expended by the individual on behalf of the CF. Recognize and reward the ability to balance organizational needs with own needs. The individual's willingness to seek and accept additional responsibility assumes greater importance with increasing rank.

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