HOW CAN THE EUROPEAN FOUNDATION FOR QUALITY MANAGEMENT
EXCELLENCE MODEL CONTRIBUTE TO THE DEVELOPMENT OF A
LEADERSHIP DOCTRINE FOR THE BELGIAN DEFENSE FORCE?

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In this thesis, recent studies of organizational leadership are combined with the characteristics of military organizations in general and of the Belgian Defense Force (BDF) in particular. The result is a generic framework that maps effective contemporary leadership and can serve as a starting point for the development of a leadership doctrine for the new BDF. This framework is based upon the integration of three generic models: Yukl's conceptual leadership process model, Quinn's Competing Values Model and the European Foundation for Quality Management Excellence Model that contributes both as a management tool and as a self-assessment tool. The proposed framework extends the current leadership initiatives in the BDF by incorporating a broad number of more restrictive leadership theories and emphasizing the situational characteristics of the different BDF leadership environments. It is centered on a leader who internalizes the appropriate values, is sensitive to cultural influences and possesses the competencies that provide him with the indispensable behavioral complexity needed to operate effectively in the current rapidly changing environment. In addition, this thesis formulates a number of recommendations for further operationalization of the framework, leadership development, and attuning human resource management processes.

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The opinions and conclusions expressed herein are those of the student author and do not
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statement.)

ABSTRACT

HOW CAN THE EUROPEAN FOUNDATION FOR QUALITY MANAGEMENT
EXCELLENCE MODEL CONTRIBUTE TO THE DEVELOPMENT OF A
LEADERSHIP DOCTRINE FOR THE BELGIAN DEFENSE FORCE?, by Major Erik
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In 2001, the Belgian Defense Force (BDF) significantly adapted its structure and
operational engagements to better meet the contemporary organizational challenges. In
this thesis, recent studies of organizational leadership are combined with the
characteristics of military organizations in general and of the BDF in particular. The
result is a generic framework that maps effective contemporary leadership and can serve
as a starting point for the development of a leadership doctrine for the new BDF. This
framework is based upon the integration of three generic models: Yukl's Conceptual
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recommendations for further operationalization of the framework, for leadership
development, and for attuning human resource management processes within the BDF.

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ACRONYMS

BDF   Belgian Defense Force

CVM   Competing Values Model

EFQM   European Foundation for Quality Management

EI   Emotional Intelligence

PSO   Peace Support Operations

TQM   Total Quality Management

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CHAPTER 1

INTRODUCTION AND METHODOLOGY

It is not the same to talk of bulls as to be in the bullring.

Spanish Proverb

Background to Thesis

Since the end of the Cold War, European defense organizations have found themselves under growing pressure and public scrutiny to "deliver value for money." At the same time they have to evolve toward a modern, flexible, and available force in order to respond to the rapidly changing environment of high complexity, uncertainty, and increasing operational demands. Therefore, military organizations are seeking ways to increase the effectiveness and efficiency of their available resources to improve their results. Many of them are integrating innovative management approaches. Most of them are also fundamentally changing their organizational structure and functioning.

The Belgian Defense Force (BDF) is following these trends also. In 2000, the Belgian Government approved a new strategic plan for the Department of Defense which was updated in 2003 and 2004. This plan draws a roadmap toward the creation of a smaller armed force that is more flexible, more mobile, better equipped, and more rapidly deployeable. The future of the BDF lies in participation in peace operations within the framework of the United Nations, of the European Union and of NATO. This requires fundamental adaptations of the BDF's organization and internal processes.

In 2002, a new joint structure was implemented which grouped the parallel activity domains of the Army, Air Force, Navy, and Medical Services into functional pillars. Simultaneously, the Department of Evaluation was created to foster permanent

improvements in all aspects of the organization. One of the tasks of this department is to support the development of a new management philosophy. The European Foundation for Quality Management (EFQM) Excellence Model is one of the several tools adopted to achieve this goal. The EFQM Excellence Model has its origins in Total Quality Management (TQM). It is a holistic non-prescriptive model for managing and continuously improving an organization in order to achieve a sustainable advantage over other organizations. The model applies to organizations in the public as well as in the private sector. The EFQM Excellence Model recognizes leadership as one of the primary enablers of success.

Effective leadership is therefore vital for the BDF in its quest to meet its new challenges. In numerous leadership theories, effective leadership is labeled as one of the most essential factors for success of organizations going through periods of change while at the same time continuing to assure the overall organizational effectiveness. Therefore, the Department of Evaluation has also received the mission to support a new leadership and decision-making culture throughout the organization. A comprehensive leadership doctrine is a valuable tool in implementing and developing such a new culture. Unfortunately, despite a number of initiatives to develop a new leadership doctrine appropriate for the new environment, none has yet been approved for the BDF. This thesis must be seen as an attempt to contribute to the current dynamics in this field.

Since the EFQM Excellence Model is already firmly embedded as a tool in the process towards excellence, this research paper will try to determine how it could also be used for the development of a new leadership doctrine tailored to the joint structure of the modern BDF.

Assumptions

This study will attempt to identify the differences between civilian leaders outside the armed forces and military leaders. If no relevant differences can be identified, the assumption will be made that the principles appropriate for a civilian leader outside the armed forces are also valid for the military leader.

Limitations

The literature review will be predominantly conducted on North American writings. However, since most leadership theories emanate from the United States, the effect of this limitation is partly reduced. Additionally, the integration of the views on military leadership of other non-US armed forces will further reduce this restraint.

Developing a leadership model tailored to a joint military organization is a complex and timeconsuming process. In general, this process can be divided into two major steps. The first step is the creation of a leadership process model. Based on theoretical foundations, this process model provides direction for the second step: the creation of a complete and detailed leadership model with specified leadership competencies specific for each organizational level in the BDF. This second step is the most debatable and cannot be accomplished by a single person. An interdepartmental workgroup must be created in order to assure coherence and acceptance of the final leadership model. Therefore, the scope of this research paper will be limited to the first step of the process but will include a number of recommendations for the execution of the second step.

Methodology

The methodology used to answer the thesis question is based upon five steps.

The first step (chapter 2) is to conduct a literature review to determine contemporary views in the general field of organizational leadership. This will allow the identification of the cornerstones of a modern leadership model.

In a second step (chapter 3), the leadership literature review will focus on the military profession and its environment. The military leadership approaches of some of the key partners of the BDF, such as the Canadian, French, German, Dutch, British, and US armed forces, will be included.

In a third step (chapter 4), the characteristics of the BDF will be examined. In addition, the EFQM Excellence Model will be analyzed based on the available literature on the subject. Specific emphasis will be placed on the role that leadership plays in this TQM model. Furthermore, this paper will explain why, how, and to what extent the model currently is being used in the BDF. Based on these findings, on the previous Belgian leadership initiatives and on the findings in the previous two steps, this paper will attempt to build a generic leadership doctrine adapted to the current military characteristics of the BDF.

In the fifth step and final step (chapter 5) conclusions will be formulated and the thesis question will be answered. Also, a number of recommendations to the Belgian military authorities will be formulated if they wish to approve the proposed generic leadership doctrine and to implement it.

<div align="center">Leadership Defined</div>

A popular statement about leadership is that there are as many definitions of leadership as there are people who have written about it. Yukl relates this variety in definitions of leadership to the fact that leadership is often studied from the personal

perspective of the researcher. As a consequence, most of the definitions of leadership are based on the researcher's value position and perceptual biases caused by different historical and cultural ideas about what actually constitutes acceptable or effective leadership (Yukl 2002). Furthermore, Karol Wenek posits that definitions of leadership may either be explicit or implicit and that they vary across time and space (2003).

The first step in the methodology chosen for this research paper is to conduct a literature review to determine the contemporary views in the general field of leadership and to identify the cornerstones of a modern leadership model. With Yukl's and Wenek's point of view in mind, it is logical to start with a generic, value neutral and context-free leadership definition that could be applied broadly. Additionally, a definition of leadership should stipulate all-important aspects of the phenomenon and should be applicable to a variety of social situations where leadership might occur.

The analysis of numerous definitions of leadership clarifies that most definitions share the assumption that it involves an influence process that aims to facilitate the performance of a collective task. Otherwise, the definitions differ in many respects, using traits, behaviors, roles, interaction patterns, and positions in a group or organization. Yukl concludes that there is no "correct" definition and that the value of a definition is shown by its usefulness in helping to understand effective leadership (2002).

Therefore, as a starting point for the literature review in the next chapter, the following generic definition of leadership will be used: leadership is the process of influencing others to understand and agree about what needs to be done and how it can be done effectively, and the process of facilitating individual and collective efforts to accomplish shared objectives.

Following the chosen methodology, this study will define effective leadership in accordance with the functional requirements and the cultural values of the BDF in its current environment.

CHAPTER 2

ORGANIZATIONAL LEADERSHIP

> A good theory is one that holds together long enough to get you to a better theory.
>
> D. O. Hebb

Introduction

As already mentioned in the previous chapter, the multitude of leadership approaches produces an abundance of related literature. Therefore, it is necessary to limit the scope of this literature review on leadership.

The literature review in this chapter will be limited to leadership in formal organizations as opposed to other leadership forms, such as parliamentary leadership, leadership of social movements, or emergent leadership in informal groups. In this work, based on the definition stated in the previous chapter, leadership is considered as an influence process focused on facilitating the performance of a collective task. Therefore, the literature review in this chapter will be centered primarily on the leadership processes and the most significant leadership theories without delineating the content of leadership (that is, the leadership roles and actions). The content of effective leadership in the BDF will be treated in the recommendations in the final chapter.

Leadership versus Management

There are still ongoing disagreements about the differences between leadership and management. Although all theorists agree that leading and managing are not the same, many of them disagree upon the degree of overlap.

On the one hand, some writers claim that some people are managers and other people are leaders (Bennis and Nanus 1985; and Zaleznik 1977). Their definition of leaders and managers assume that they have incompatible values and different personalities and therefore cannot be combined in the same person at the same time. For instance, Bennis and Nanus state that managers do things right and leaders do the right things (1985).

On the other hand, most writers define leading and managing as distinct processes but done by the same people. MintzBerg views leadership as an essential managerial role (1973). Bass concludes that leaders manage and managers lead, but the two are not synonymous (1990). Kotter posits that management seeks to produce predictability and order while leadership seeks to produce organizational change (1988). He claims that both processes are necessary for the success of the organization. The relative importance of both processes and the best way to integrate them depend on the situation at the time (Kotter,1988).

Without further research it remains difficult to define to what extent these two processes are integrated. In consequence, some terms that will be used in this research paper need to be defined. Leadership and management will be considered as two distinct processes done by the same people. Both leadership and management are considered to be elements of "managerial leadership" that is exercised by selected people in an organization.

These selected people are identified in this paper by interchangeable terms as "leader," "manager," or "boss." These people work with "subordinates," a term that denotes someone whose work is directed and evaluated by the leader. In contrast, the

term "follower" defines a person who acknowledges the appointed leader as the primary source of guidance about the work, regardless of how much formal authority the leader actually has over the person. It is worth mentioning that the terms leader, subordinate and follower can apply to the same person simultaneously.

<p align="center">Leadership Effectiveness</p>

Like definitions of leadership, views on a leader's effectiveness are linked to the researcher's conception of leadership.

The most commonly used and objective measure of a leader's effectiveness is the extent to which the leader's organizational unit performs its task successfully and attains it goals. Within this approach, Hodge and Anthony distinguish between an organization's primary and secondary goals. Primary goals relate directly to the basic purpose of an organization; secondary goals either support the achievement of primary goals or broader societal objectives. An organization has to focus on both types of goals in order to ensure long-term organizational health and survivability (Hodge and Anthony 1991).

However, subjective measures can also be used and are obtained from the leader's superiors, peers, or subordinates. The attitude of followers towards the leader is another common indicator of leadership effectiveness. Finally, a leader's effectiveness can also be determined in terms of the leader's contribution to the quality of group processes as perceived by followers or outside observers. Combining several of these measurements is difficult without using subjective judgments and becomes problematic when some measurements are negatively correlated (that is, one increases automatically when the other decreases) (Yukl 2002).

<p align="center">9</p>

Another problem for the measurement of leadership effectiveness is that some outcomes are more immediate than others. Furthermore, end results can be influenced by external events. When the outcome is long delayed and there is considerable influence from external events, end result criteria are less useful to determine effective leadership. Finally, the selection of appropriate criteria depends on the objectives and values of the person making the evaluation, and these can differ from person to person. In consequence, Yukl proposes the use of multiple criteria to obtain the best possible measurements (2002).

Overview of Major Classic Leadership Approaches

Considering the vast and divers literature, there are many ways to categorize the different approaches on leadership. All of the following differentiations help to classify the numerous leadership theories. However, it must be clear that these distinctions are not a sharp dichotomy and that most theories fall in between the two extremes of each category. Furthermore, the different classifications are not mutually exclusive, and a single theory can be classified in more than one category.

Possible Bases for the Classification of Leadership Theory

Leadership Level

Leadership theories can be classified based on their level of analysis of leadership processes. Yukl identifies four levels: (1) intra-individual, (2) dyadic, (3) group, and (4) organizational. Each level provides some unique insights, but more research is needed on group and organizational processes. Also, more integration across levels is needed. Since the four levels are considered as a hierarchy, most theories conceptualized at a higher level assume that related processes occur at lower levels. On the other hand, a theory

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conceptualized at a higher level usually includes more aspects of leadership than the sum of the lower-level processes (Yukl 2002).

Leader versus Follower Centered Theory

Another basis for differentiating theories is their relative focus on leader or follower. Early leadership research focused primarily on the leader and his influence on the follower. More recent studies have a more-balanced approach and recognize also the influence of the follower on the leader.

Prescriptive versus Descriptive Theory

An additional important classification is differentiating between prescriptive and descriptive theories. Descriptive theories explain leadership processes, describe the typical activities of a leader, and explain why certain behaviors occur in particular situations. Prescriptive theories specify what leaders must do in order to become effective, and they identify any necessary conditions for using a particular type of behavior effectively.

Universal versus Contingency Theory

Another basis for classification is the difference between universal and contingency leadership theories. A universal theory describes some aspects of leadership that applies to all types of situations. A contingency theory describes some aspect of leadership that applies to some specific situations (2002).

Emphasis Placed on the Key Variables of Leadership

Finally, this classification sorts the leadership theories according to the type of variable within the leadership process that is emphasized the most. Because it provides at

the same time insight into the dynamic of the leadership processes, this classification will be used for organizing the major leadership theories in this chapter.

Yukl proposes the use of three types of variables as a base for classification (2002). As represented in appendix A, he defines: (1) characteristics of a leader, (2) characteristics of the followers, and (3) characteristics of the situation. Appendix B depicts the relationship among these variables. Based on where the most emphasis is placed, five major theories can be distinguished: (1) Trait Theory, (2) Behavior Theory, (3) Power-Influence Theory, (4) Situational Theory, and (5) Integrative Theory.

Trait Theory

The early trait studies attempted to identify physical characteristics, personality traits, and abilities of people who were "born" to be natural leaders. The main leadership traits identified in early studies were: intelligence, self-confidence, determination, integrity, and sociability (Northouse 1997). Despite the breath and depth of studies conducted, this list of traits is based on weak correlations with leadership success. Critics consider this theory to be highly subjective (Kanji 2002). Furthermore, the initial approach failed to take into account the situation, followers, and leadership outcomes.

In recent years, studies have identified more relevant traits and trait patterns and have also better measured them. In these recent studies, energy level and stress tolerance, self-confidence, internal control orientation, emotional maturity, and integrity have been identified as especially relevant to effective leadership (2002).

In addition to his traits, a leader has to develop skills through learning and experience in order to deal with the demands of his position (Mumford et al. 2000). The three general categories of relevant skills are: interpersonal, conceptual, and technical

skills. Relevant competencies identified in more recent research include emotional intelligence, social intelligence, and the ability to learn and adapt to change. The priority and relative importance of those types of skills depend on the type of organization, the situation, and the level of management (Yukl, 2002).

In the context of organizations, three levels of management can be identified. Higher-level or executive management is focused on exercising broad authority in making long-term plans, formulating policy, modifying organization structure, and initiating new ways of doing things. Middle managers are primarily concerned with interpreting and implementing policies and programs. Low-level or supervisory managers are primarily concerned with structuring, coordinating, and facilitating work activities. Their objectives are more specific, less complex, and more focused (Yukl 2002). Throughout these three levels, leadership influencing actions must be seen as a continuum between direct leadership at the low level and indirect leadership at the higher level.

The trait approach has important implications for improving managerial leadership effectiveness. Information about a person's traits and skills is essential for selecting leaders, for identifying training needs, and for developing leaders and preparing them for promotion to higher-level jobs (Yukl 2002).

Behavior Theory

Due to the lack of decisive results in the early research of the trait approach, researchers began to investigate the behavior of managers on the job. The main assumption of this approach is that effective leadership is related to the way leaders behave. One line of research concentrated on how the manager spends his time and what

his activities are. The other line focused on determining the distinction between the behaviors of effective leaders versus ineffective ones.

Based on this research, different taxonomies of effective leadership behavior have been developed. Differences among those taxonomies can be explained in part as result of differences in purpose, level of abstraction, and method of development. However, the differences in category labels tend to obscure a considerable amount of convergence in behavior content (Yukl 2002). Ekvall and Arvonen propose a three-dimensional taxonomy for grouping specific behaviors into general categories. They define the three leader behavior dimensions as: task, relations, and change oriented. These three types of behavior interact jointly to determine work unit performance. Within these three dimensions, effective leaders determine which behaviors are appropriate and mutually compatible for the given situation (Ekvall and Arvonen 1991). Appendix C depicts some examples of behaviors in each of these three dimensions.

However, a wide range of studies failed to determine a universal style of leadership that could be effective in almost every situation (Kanji 2002).

Indeed, situational differences demand the leader to change his behavior. For instance, Steward posits that the pattern of interactions with subordinates, peers, superiors and outsiders is affected by a manager's dependency on these people and by the demands they make on a manager. Other situational influences on managerial behavior are: the nature of the work itself, level of management, size of the organizational unit, crisis conditions and stage in organizational life (Stewart 1967, 1976, and 1982).

Furthermore, leadership style is most often viewed as a dependent variable focusing on how individual behavior and attitudes, group or organizational performance

are influenced. Kuhnert and Lewis describe what factors influence a given leader's dominant style or how leadership style is developed (Kuhnert 1987). They list a number of cognitive, behavioral, and dispositional approaches that can help in determining the appropriate leadership style:

1. Cognitive Choice: Leaders purposefully and rationally choose a style of leadership that will maximize individual and group performance. It is argued that individuals assess situations (task, subordinates, and environment) and decide which leadership style would be the most effective in achieving group objectives.

2. Personality: Leadership style is a function of the leader's inherent personality structure. The style adopted by leaders is more an extension of their personalities than it is of the situation in which they operate. For example, the Myers-Briggs Type Inventory (MBTI) links a leader's cognitive style to his or her leadership style.

3. Self Concept and Sources of Motivation: The leader's dominant source of motivation plays an important role in assuming a leadership style. Specific to this approach is the concept of Social Identity whereby the role of the leader is viewed as a role-specific social identity, complete with associated traits, competencies, and values.

4. Role Expectations: Social systems set and communicate role expectations with respect to leadership roles. Individual assuming leadership roles enact these cognitive schema or scripts.

5. Reinforcement through Social Learning: The style used by a leader is in function of the feedback and reinforcement received from three important actors in the leader's work environment: his subordinates, peers and bosses.

6. Performance Pressures: Leaders respond to two fundamental pressures they are faced with. First, when pressured for task accomplishment, leaders tend to use task oriented styles. Second, if the pressure for group maintenance, membership, and relationship building is the strongest, leaders tend to use relation oriented styles.

Power-Influence Theory

In this approach, research is directed towards determining the amount and type of power possessed by a leader and how this power is exercised. This power is not only used for influencing subordinates, but also followers, peers, superiors, and people outside of the organization.

Power is the capacity to influence the attitudes and behavior of people in the desired direction. Authority is the right to influence others in specified ways and it is an important basis for influence in formal organizations. Potential influence derived from a manager's position in the organization is called "position power" and it includes legitimate power, reward power, coercive power, information power, and ecological power. Potential influence, derived from the characteristics of the person who occupies a leadership positions is called "personal" power and it includes expert and referent power. Although research suggests that effective leaders rely more on personal power than on position power, Yukl emphasizes that position power is still important and interacts in complex ways with personal power to determine a leader's influence on subordinates (Yukl 2002). This view is consistent with Kotter's, who states that effective leaders use a mix of different types of power (Kotter 1982).

Another part of this research studied how leaders influence the attitudes and behaviors of followers. Because the influence behaviors prescribed by most leadership

theories are relatively few in number and not fully representative of people's experiences, several researchers have conducted empirical studies to determine how people actually use power to influence others. In one of these studies, Kipnis, Schmidt, and Wilkinson identified some 58 different tactics used in exercising downward, lateral, and upward influence, which were statistically reduced to eight categories of tactics, namely:

1. Assertiveness-Pressure-Legitimating Tactics: Repeated reminding or checking, ordering, setting deadlines, expressing displeasure, rebuking, and invoking rules.

2. Ingratiation: Acting friendly or demonstrating competence before making a request, making the target feel important or special.

3. Rational Persuasion-Apprising: Providing supporting information, using logic and explaining reasons, writing a detailed plan, demonstrating benefits.

4. Sanctions: Threatening unsatisfactory performance evaluation, withholding benefits.

5. Exchange-Collaboration-Personal Appeals: Offering support for compliance, compromising, offering to assist in implementation, and calling on favors.

6. Upward Appeal: Obtaining support of superior, referring the other person to a superior.

7. Blocking: Threatening to withdraw support, foot-dragging, and ignoring.

8. Coalition Building: Obtaining coworker or subordinate support, holding a formal conference to present a request.

The results show that the use of different tactics tends to vary according to the status of the target (superior, peer, or subordinate) and the reason for influence (getting assistance or resources, assigning tasks, obtaining personal benefits, improving

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performance, initiating change). Kipnis et al. state that rationality tactics are used more often to initiate change, rationality and assertiveness to influence performance, assertiveness to assign tasks, and ingratiation to obtain support or assistance.

Additional research identifies rational persuasion and consultation as the most frequently used tactics regardless of the target of influence, and expands the list of tactics to include: (1) inspirational appeals (appealing to organizational values, arousing emotions) and (2) consultation (soliciting opinions and advice, requesting participation in planning or developing) (Yukl and Falbe 1990).

Appendix D provides a summary of specific research results found for most of those influence tactics.

Situational Theory

The situational approach recognizes the importance of the influence of situational variables on leadership processes. The fundamental assumption is that different situations demand different kinds of leadership.

One category of research is focused on determining the extent to which leadership processes are the same or unique across different types of organizations, levels of management and cultures. Research in this field resulted in the contingency theories of leadership and is based on the assumption that different attributes will be effective in different situations and that the same attribute is not optimal in all situations. Instead, leaders need to adapt their style to the characteristics of their subordinates and/or to the characteristics of each situation. An overview of the major contingency theories is represented in appendix E.

The second category of research tried to identify situations where leadership attributes moderate or reinforce leadership effectiveness. On the extreme end of these findings, the theory of leadership substitutes is found. This theory describes the conditions that make hierarchical leadership unnecessary (replacements), less effective (neutralizers) or more effective (enhancers).

The major contingency theories reflect three basic assumptions: (1) that leaders can and will accurately assess the key contingencies in a task or problem situation, (2) with the exception of Fiedler's theory, that leaders can exhibit a reasonable degree of behavioral flexibility, and (3) that effectiveness is optimized when leader behavior is appropriate to subordinate and situational contingencies. On the other hand, these theories differ in the number and kinds of contingency variables they take into account. Also, they prescribe influence processes that have a few differences but at the same time also a number of similarities.

The main strength of the situational approach is that it provides a broader view of leadership and allows for the complexity and situational specificity of leadership effectiveness (Kanji 2002). However, studies were unable to determine why individuals with certain leadership styles are more effective in some situations. Yukl describes another major limitation of these contingency theories: they lack sufficient attention to some leadership processes that transform the way followers view themselves and their work (2002). Furthermore, Kanji states that it is difficult to conceptualize and operationalize the situational variables (2002).

In short, the most important contribution of the contingency theories to the leadership field is that they provide some insights into reasons for leadership

effectiveness, but each theory also has limited utility due to conceptual weaknesses (Yukl, 2002).

Integrative Theory

Two recent leadership theories integrate the three key leadership variables (leader, follower, and situation) in a balanced way: charismatic leadership, and transformational and transactional leadership.

First, charismatic leadership will be studied. Charismatic leaders are defined as having high self-confidence and a clear vision (Shamir, Zakay, and Popper 1998), engaging in unconventional behavior, acting as a change agent and still being realistic about environmental constraints (Greenberg et al. 2000). Charismatic leaders are the product of follower perceptions and attributions that are influenced by actual leader traits and behavior, the context of the situation and the individual and collective needs of the followers (Yukl 2002; Bass 1985). The effects of charismatic leadership are that the followers are emotionally involved in the mission and set high goals for themselves (House 1977). Charismatic leadership has been associated with increased organizational financial performance (Howell and Avalo 1993) and organizational and subordinate effectiveness (Lowe et al. 1996). These benefits make the organization more adaptable to a dynamic, hostile, and competitive environment. Charismatic leaders are rare and are more likely to emerge as visionary entrepreneurs who establish a new organization. They can also appear as reformers to replace the formal authority that failed to deal with a severe crisis in an established organization resulting in the questioning of traditional values and beliefs (Bass 1985; Beyer 1999; Shamir and Howell 1999).

However, it is important to note that the personal power of a charismatic leader can also have "a dark side" and create a negative impact on the organization as a whole (Bass and Steidlmeier 1999; Yukl 2002). The reactions of people to charismatic leaders are usually extreme and diverse in both positive and negative ways. In addition, the achievement-oriented culture that is usually created by a charismatic leader produces excessive stress for followers (Harrison 1987). Another negative effect can be that an achievement culture created within one subunit of a larger organization may result in elitism, isolation, and lack of necessary cooperation with other units.

The second integrative theory is the transformational leadership theory which evolved from the charismatic theory and was described by Burns (1978) and further developed by Bass and Avolio (1994). Burns states that transformational leadership occurs when one or more persons engage with others in such way that leaders and followers raise one another to higher levels of morality. Bass adds that transformational leaders help followers reach their full potential by making them aware of the importance of task outcomes, inducing them to transcend their own self-interest and activating their higher order needs. To that end, transformational leaders try: (1) to get their collaborators to imitate them (idealized influence), (2) to communicate visions of the future that are attractive for their collaborators (inspirational motivation), (3) to stimulate them to be creative without criticizing their ideas (intellectual stimulation), and (4) to provide them with personal attention and individualized opportunities for learning and development (individualized consideration) (Bass 1994).

Transformational leadership has been associated with better follower attitudes and higher organizational commitment and performance (Barling et al. 1996; Kirckpatrick

and Locke 1996). Bass claims that transformational leadership proves effective at different levels of authority, in different types of organizations and in different cultures (1996). However, a number of situational variables enhance the effect of transformational leadership such as an unstable environment, an organic structure (rather than a mechanistic bureaucracy), an entrepreneurial culture and dominance of boundary-spanning units over the technical core (Bass 1985 and 1996; Howell and Avalio, 1993; Pawar and Eastman, 1997).

Transformational leadership and transactional leadership were conceptualized simultaneously by Burns (1978). Burns defines transactional leadership as motivating followers primarily by providing rewards or engaging in disciplinary behaviors. Rewards usually include financial incentives and organizational recognition (Bass 1996). Typically, the main focus of transactional leaders is on setting goals, clarifying the link between performance and rewards, and providing constructive feedback to keep followers focused on their task (Bass 1985). In return, the follower grants authority and legitimacy to the leader as a kind of temporary business arrangement.

The theories of transformational and charismatic leadership also emphasize that emotional processes are as important as rational processes and symbolic actions are as important as instrumental behavior (Yukl 2002). Moreover, both leadership theories introduce the idea of leaders having an ethical and moral obligation to their followers (Bass 1999).

Linking charismatic and transformational/transactional leadership theory together, Bass explains that charisma is a necessary but not a sufficient condition for

transformational leadership. In addition, he states that both transactional and transformational leadership are necessary and complementary (1985).

Building further on these theories, Avolio defined the Full Range Leadership Model which provides the transformational leader a wide range of styles and methods to apply when dealing with subordinates. Avolio identifies three major components of Full Range Leadership: Transformational Leadership, Transactional Leadership, and Non-Transactional Leadership. All three of these components, when combined, produce adaptive leadership that can adjust or modify with each situation (1999). The Full Range Leadership Model is further explained in appendix F.

Modern Views and Emergent Issues on Leadership

Complexity and Systemic Leadership within Team Based Learning Organizations

Emerging organizational models emphasize the need for quality, flexibility, adaptability, speed and experimentation (Graetz 2000). In addition, Collier and Esteban view modern organizations as complex adaptive systems associated with the properties of chaos, emergence and generation. They argue that leadership in these organizations is the systemic capability, diffused throughout the organization and nurtured by the members, of finding organizational direction, of generating and maintaining continual renewal by encouraging, harnessing and directing creative and innovative capabilities, while simultaneously holding in tension the processes of responsiveness to the environment on the one hand, and the maintenance of integral integrity of purpose on the other (2000).

In consequence, systemic leadership puts the sense of belonging to a community at the core of the leadership process. It is based on the combination of strong "personalized" leadership at the top with "distributed" leadership among a group of

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experienced and trusted individuals operating at different levels of the organization (Graetz 2000).

Modern organizations are relying more and more on teams to improve quality, efficiency and adaptive change. They use cross-cultural teams to improve coordination among the different parties involved in carrying out a joint project (Yukl 2002). In this context, Horner defines self-directed teams as "a group of employees who have day-to-day responsibility for managing themselves and the work they do with a minimum of direct supervision" (1997). In such teams, the line between leaders and followers becomes less clear and more flexible. The idea of leadership centralized in one person may no longer be appropriate due to the high collaborative, involved nature of the workforce (Horner 1997).

This evolution toward team leadership unavoidably places more ownership and responsibility on all team members. In consequence, systemic leadership considers each organizational member as a fully autonomous agent with powers of judgment and decision making. Simultaneously, each member is assumed to be uniquely responsible for their performance and therefore held accountable for it (Kanji 2002). This effect can be strengthened through developing group cohesiveness, group identification and the group's capacity to learn from experience (Yukl 2002). Research indicates that democratic styles of leadership are more likely to produce this effect. However, the same research indicates that different types of leadership are required at different stages of team development (Kanji 2002).

Within the context of learning organizations, leadership is also identified as a collective process. Similar to the theory of systemic leadership, Senge states that

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leadership in the future will be distributed among diverse individuals and teams who share the responsibility for creating the organization's future (1993). He further argues that the traditional view of leaders, as special people who set direction and make the key decisions, is rooted in an individualistic and non-systemic perspective that prevents collective learning from happening. He defines new roles for the leader in such organizations. They must be designers (governing ideas and translating them into decisions, fostering strategic thinking), teachers (or coaches, helping everyone in the organization to gain insightful views of reality), and stewards (serving the people they lead and the mission of the organization). These new roles demand new skills: the ability to build shared vision, to bring to surface and to challenge prevailing mental models, and to foster more systemic patterns of thinking (Senge 1993).

Leadership in Changing Organizations

One of the most important and difficult leadership responsibilities is to guide and facilitate the process of introducing major change in an organization. The change process can be described as having different stages, such as unfreezing, changing and refreezing (Lewin 1951). Moving too quickly through those changes can endanger success.

In their study of organizational leadership, Hughes, Ginnett, and Curphy present a model (see figure 1) based on five components (vision or mission, culture, structure, systems, and capabilities), and state that one of the keys to successful organizational change is ensuring that all components are in alignment (2002). They point out that it is relatively easy to create a new vision or mission statement, organization chart or compensation plan, but that it takes considerable time and focused effort to change the capabilities and culture of an organization.

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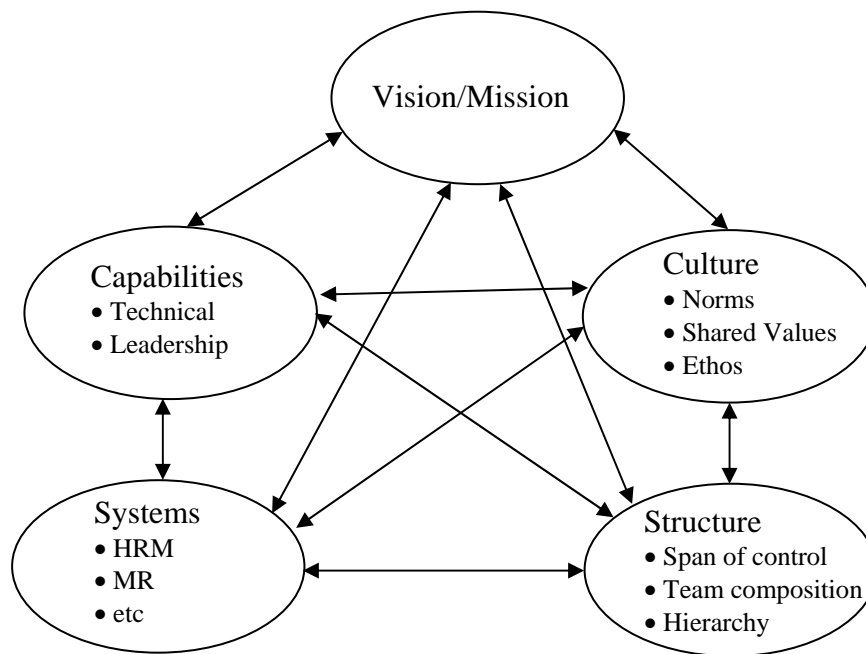
Figure 1.   Five Component Model of Organizational Change
Source: R. L. Hughes, R. C. Ginnett, and G. J. Curphy, *Leadership, Enhancing the Lessons of Experience* (New York: McGraw-Hill, 2002).

Kotter and Schlesinger identify three different approaches to change: the empirical-rational, emotional, and coercive approach (1979).

First, with the empiric-rational approach, leaders increase follower dissatisfaction by pointing out problems with a status quo and systematically identifying areas of needed change. They do this by using one of the following principal tactics:

1. Performance measurement and feedback: these methods use comparisons against standards or expectations

2. Survey feedback: these methods differ from the objective performance measurement and feedback because they collect information on "soft" attributes such as opinions, attitudes, values, experiences and intentions.

3. Demonstration projects: small experiments or trial programs are conducted to test or validate the validity of a technology, policy or practice.

4. Organizational learning: continual intelligence gathering, analysis of trends, review of results.

Based on the results of these tactics, leaders develop a vision and implement a change plan. The rational approach puts emphasis on analytic, planning and management skills.

Second, with the emotional approach, leaders develop and articulate a vision, heighten the emotions of followers and empower them to act on their vision. This approach puts emphasis on leadership skills, leader-follower relationships, and the presence of a crisis to drive organizational change. The influence tactics leaders use in this approach are very similar to the once described in the situational theories and the transformational leadership theories. They most common emotional change tactics are: inspirational leadership (generic brand of transformational leadership but without the moral elevation), participative leadership (buy-in), and the use of brokerage politics.

Third, the coercive approach is based upon directing change using unilateral action, authority or contingent reward, and punishment.

Hughes Ginnett and Curphy posit that the effectiveness of the change effort may depend on which approach leaders are most comfortable with and the skill with which they can carry it out (2002).

In addition, successful leaders must understand the emotional stages of their followers as they adjust to the change process. Therefore, they view their follower's resistance to those changes as a normal defensive response (Yukl 2002). Additionally, Kotter states that the type of organizational unit can influence the resistance to change. He claims that this resistance is generally the highest in complex bureaucracies (1996).

In consequence, an important contribution of leadership in the change process is convincing the followers of the need to change. Its ability to create and sell a compelling vision is therefore crucial. In addition, if the organization's leadership does not succeed in rooting the new behaviors in social norms and shared values, these behaviors will disappear as soon as the pressures associated with the change effort are removed (Kotter 1996). It is also important to realize that changing attitudes and roles at the same time is more effective than changing either one alone (Yukl 2002).

Kotter suggests the following characteristics for a modern organization: non-bureaucratic, fewer levels, many performance information systems, wide dissemination of information and knowledge, distributed leadership training, externally oriented, open and candid, more risk tolerant, quick to make decisions, and empowering (1996).

Influences of Cultural Values on Leadership

The increasing globalization of organizations has made it more important for managers to learn about effective leadership in different cultures. Leaders are increasingly confronted with the need to influence people from other cultures; successful influence requires therefore a good understanding of these cultures. Leaders must understand how people from other cultures view them and interpret their actions.

Cultural values and traditions influencing managerial behavior can be found on the national and on the organizational level.

National cultural values are likely to influence thoughts and behavior of managers who have unconsciously internalized these values while growing up. Furthermore, national cultural values are reflected in societal norms which in turn, specify acceptable and effective leadership behavior as seen by others (Fu 2000; House 1997). In consequence, most managers will conform to these norms.

The GLOBE project is a cross-cultural leadership study conducted in 62 different cultures representing all regions in the world (Den Hartog et al. 1999 and House 1997). This research is based on the taxonomy of Hofstede (power distance, individualism, uncertainty avoidance, gender egalitarianism) which is depicted in appendix G (Hofstede 1980 and 1993). Preliminary results of the GLOBE project regarding the universality of some leader competencies and behaviors are listed in appendix L.

Another particular important consequence of these findings is that leaders have to perform what Hofstede calls a cultural transposition of leadership theories in order to make them fit their national values. Indeed, since most leadership theories originate from the US, they are written from a middle-range power distance background. Therefore, leaders who operate in a culture that is characterized by a smaller or larger power distance must be careful when transferring the leadership skills as defined by the US theory and "transpose" them when necessary to accommodate their culture (Hofstede 1980).

To illustrate this finding, differences in subordinate's expectations for the three levels of power distance are represented in table 1.

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Table 1. Differences in Subordinate's Expectations		
Small Power Distance	Medium Power Distance (USA)	Large Power Distance (BELGIUM)
Subordinates have weak dependence needs	Subordinates have medium dependence needs	Subordinates have strong dependence needs
Superiors have weak dependence needs toward their superiors	Superiors have medium dependence needs toward their superiors	Superiors have strong dependence needs toward their superiors
Subordinates expect superiors to consult them and may rebel or strike if superiors are not seen as staying within their legitimate role	Subordinates expect superiors to consult them but will accept autocratic behavior as well	Subordinates expect superiors to act autocratically
Ideal superior to most is a loyal democrat	Ideal superior to most is a resourceful democrat	Ideal superior to most is a benevolent democrat or a paternalist
Laws and rules apply to all and privileges for superiors are not considered acceptable	Laws and rules apply to all but a certain level of privileges for superiors is judged as normal	Everyone expects superiors to enjoy privileges; laws and rules differ for superiors and subordinates
Status symbols are frowned upon and will easily come under attack from subordinates	Status symbols for superiors contribute moderately to their authority and will be accepted by subordinates	Status symbols are very important and contribute strongly to the superior's authority with the subordinates

Source: G. Hofstede, *Culture's Consequences: International Differences in Work-Related Values* (London: Sage, 1980).

In contrast with the national culture, culture within the organization can be influenced by the organizational leaders' behavior. However, Yukl posits that is difficult to change culture in a mature organization. He provides several reasons for this difficulty. Many of the underlying values, beliefs, and assumptions shared by people in mature organizations are implicit and unconscious. Cultural assumptions are difficult to change when they justify the past and are a matter of pride. Moreover, cultural values influence the selection of leaders and the role expectations for them. In short, in mature organizations, culture influences leaders more than leaders influence culture (Yukl 2002).

Drastic changes are unlikely unless there is a major crisis threatening the welfare and survival of the organization.

Also on the organizational level, managers are confronted with increasing diversity inside their organization. A major difficulty in managing this diversity is finding an appropriate balance between promoting diversity and building a strong organizational culture based on shared values and strong member commitment (Milliken and Martins 1996). Hofstede confirms the importance of shared values as a common frame of reference and as a means to keep the members of an organization together. He further claims that creating an organizational culture is a vital task of leaders especially when they have to deal with cultural diversity among their followers. In addition, he writes that outstandingly successful organizations usually have strong and unique (sub) cultures; the successes themselves contribute to the organization mythology which reinforces the subculture (Hofstede 1980). Furthermore, he specifies that such organizational cultures are hard to change once they are crystallized in symbols, special language, rituals and myths.

Finally, Trudzik emphasizes the profound importance of organizational culture on the effectiveness and viability of organizations both in the public and private sector. While management works within an organizational culture, leadership is concerned with redesigning that culture to maximize performance. In consequence, understanding the existing organizational culture for managing change becomes a primary concern for leaders (Trudzik 1994).

Ethical Leadership

Leaders seek to build mutual trust and respect among diverse followers and to
find integrative solutions to conflicts between competing interests and values (Yukl
2002).

However, choosing between values places the leader before a dilemma since all
values represent an apparent "right." Ethical theories have been developed to resolve
such dilemmas. Table 2 summarizes the major ethical theories:

Table 2. Major Ethical Theories		
Approach	**Key Thought**	**Guiding Question**
DEONTOLOGICAL (Kant)	The main theme is that some obligations and duties are binding, regardless of the effects or consequences of the action	Is an action required or prohibited by a law or principle?
CONSEQUENTIALSIME (J.S. Mils)	The morality of an action is ultimately determined by its effects or consequences, rather than by the nature of the action itself	What action will result in the greatest net good?
SITUATION ETHICS (Fletcher)	The morality of an action is determined by the nature of one's motives within the unique circumstances of a situation	What would a good, well-intentioned person do in these particular circumstances?
VIRTUE ETHICS (Aristotle)	The morality of an action is determined by the extent to which it develop qualities of virtue/excellence within a person	What action will best develop one into a person of excellent character?

Source: R. Roetzel, *Towards the Army's Ethical System* (Fort Leavenworth, KS: US
    Army Command and General Staff College, 2001).

However, empirical research showed that none of these theories offer a comprehensive explanation of the relationship between workplace ethics, behaviors and other processes. Therefore, to compensate for their individual shortfalls, a leader must integrate more than one ethical theory into his ethical analysis.

However, evaluation of ethical reasoning of individual leaders remains complicated by the inherent subjectivity of the evaluator, the diverse consequences of a leader's actions, and disagreements about the extent to which ends justify means (Yukl 2002). Judgments about ethical leadership vary somewhat across cultures, but research indicates that some types of leader behavior (for example exploiting followers) are considered improper regardless of national culture (Den Hartog et al. 1999). Other behaviors seem to be generally considered in Western culture as morally justifiable: following the same rules and standards applied to others, being honest when providing information or answering questions, keeping promises and commitments, and acknowledging responsibilities for mistakes while also seeking to correct them.

<center>Emotional Intelligence</center>

A growing number of researchers consider emotions as a central feature of organizational life (Ashkanasy, Hartel, and Zerbe 2000; Ashforth and Humphrey 1995; Mumby and Putnam 1993). Their position is supported by recent studies in trait and behavior theory that have identified emotional maturity, emotional intelligence, and social intelligence as essential aspects of an effective leader. In addition, the charismatic and transformational theories recognize that emotional processes are as important as rational processes.

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The recently developed construct of emotional intelligence (EI) can provide a useful tool to introduce the topic of emotions into the leadership concept. However, within the EI field there is still disagreement about the definition and content of emotional intelligence.

One school of researchers defends a limited definition of emotional intelligence. They define EI as the ability to perceive and process emotional information. This ability can be learned and allows leaders to take emotions into account when making choices. (Mayer and Salovey 1997). Appendix H depicts the EI Framework as developed by this school of researchers.

The second major school proposes a broader approach of emotional intelligence that combines individual or self-competencies with social or relational skills and traits which can be learned through a self directed learning process based on repetition and practice. They have recently made an attempt to link the EI concept with effective (or resonant) leadership styles. They identified also two (dissonant) leadership styles that can only be effectively used in very specific situations (Goleman, Boyatzis and McKee 2001). Appendix I explains the conceptualization of EI and the resonant and dissonant leadership styles as proposed by these researchers.

Despite an increasing number of studies on EI and its influences on the leadership process, many uncertainties remain. The major critics of the concept claim that EI is an aspect of personality rather than a separate intelligence, that it does not appear to be a stand-alone set of mental abilities but rather a subset of practical problem solving, and that emotions are social constructs based on situational constraints and on norms that are subject to cultural variations (Johnson 2002).

At the current stage of research it is difficult to determine a definitive link

between EI and effective leadership, since there is still no consensus about the conceptual

foundation of emotional intelligence. However, convincing evidence shows that the

emotional dimension of organizations has an impact on the leadership process and that

emotional intelligence theory helps to develop a deeper understanding of the complex

relationship between emotions and leadership effectiveness.

<center>Motivational Leadership</center>

The Sources of Motivation Model explains the hierarchy of motives behind work

behavior. It argues that there are five basic Sources of Motivation and five Motivational

Inducement Systems as described in table 3.

With respect to motivation, Yukl distinguishes three kinds of responses to leader

direction and influence: commitment, compliance, and resistance (2002). He defines the

differentiating components as public behavior and private attitude:

<u>Commitment</u> means behavioral conformity plus attitudinal support; behavior and

attitude are congruent. Committed followers identify with and internalize leadership's

goals or organizational norms of duty and will maintain effort in pursuit of those goals

without promise of reward or threat of punishment and even in the absence of the leader.

<u>Compliance</u> refers to behavioral conformity combined with attitudinal neutrality,

reluctance, or opposition; behavior and attitude are more or less incongruent. Compliant

subordinates may pursue leadership's goals only to the extent that their behavior and

performance are closely monitored and controlled; behavior and performance are

contingent on rewards or threat of punishment, strong cultural norms of obedience to

authority, or attachment to and influence of the primary group.

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Table 3. Sources of Motivation Model					
Sources of Motivation (Conditions for Motivation)	Motivational Driver	**Motivational Inducement Systems**			
		Reward System (Pay and promotion)	**Managerial System** (Leadership style)	**Task System** (Job design)	**Social System** (Culture)
Intrinsic Process (Enjoyment)				Laissez-faire leadership Job rotation Social activities Quality of work programs	
Instrumental (Increase Pay and/or promotion is linked to high performance)	Increases in pay and promotion	Merit pay Commissions Incentive pay Gain sharing Profit sharing Bonuses Promotion			
Self Concept: External (Increased status, recognition and external validation are associated with high performance)	Group acceptance Individual worth Group status Group influence	Promotion	Recognition Empowerment Positive reinforcement	Job Enlargement	Peer recognition Customer recognition Team building
Self Concept: Internal (Skills, abilities and values are validated through high performance)	Achievement Validation of competencies		Empowerment Participation in problem solving Linking skills to mission	Job enrichment Knowledge of results	
Goal Identification (High performance is essential in the accomplishment of important goals or benefits to others)	Accomplishment			Vision creation Goal setting Empowerment in mission development	Alignment of activities Knowledge of results

Source: N.H Leonard, A self concept-based model of work motivation. *Proceedings of the Academy of Management Annual Meeting,* (Vancouver, B.C., 1995).

<u>Resistance</u> refers to delaying, avoidant, or non-compliant behavior coupled with attitudinal opposition; behavior and attitude are congruent but negatively so. Resistant or oppositional subordinates either refuse to pursue leadership's goals or pursue antithetical goals and cannot be controlled by organizational norms, promise of reward, or threat of punishment.

Commitment is ultimately what most leaders want from their subordinates since it delivers certain advantages which compliance may not: commitment often translates into extra effort and persistence and, hence, enhanced performance. In addition, it fosters self discipline and correspondingly diminishes the requirement for imposed discipline. Finally, committed subordinates usually require little or no direction and supervision and, consequently, can be reliably given extra responsibility and authority. In some circumstances however, leaders may have to settle for compliance.

<center>Total Quality Management</center>

Total Quality Management (TQM) is created out of the need of modern organizations to improve product and service quality and to increase productivity while simultaneously decreasing overall cost. The goal of TQM is total quality and is a strategic approach to producing the best products and services possible through teamwork and continual innovation (Atkinson 1990). TQM is driven by top management and is a lead-by-example approach. In addition, TQM relies on the ownership and commitment of everyone who is associated with the organization (customers, suppliers, and employees). Its implementation requires cultural as well as behavioral and attitudinal adjustments of all members of the organization. Finally, TQM relies heavily on measurement to control variation within organizational processes (Deming 1986).

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In addition, Jablonski emphasized the critical role of leadership in the implementation of TQM (1991). Later research confirmed the essential role leadership plays in an organization that aims for superior performance. As a result, Kanji considers leadership to be responsible for driving the organization towards quality and excellence in every area (2002).

<center>Integrating Conceptual Leadership Framework</center>

In an attempt to integrate the major leadership theories reviewed in this chapter, Yukl proposes a conceptual framework of the leadership process that applies to every organizational level (2002). It is based on the assumption that a core set of intervening variables mediate the effects of leadership behavior on criteria of leadership success. Leaders can directly influence those intervening variables in a variety of ways. These ways and their effects are described in the leadership theories reviewed in this chapter. Leaders can also have indirect effects on the intervening variables by changing the situational variables. The model further recognizes the effect of leadership substitutes and of conditions beyond the control of the leader. The model also clearly shows that the leader's behavior is influenced by all other variables. The model is represented in appendix J, while appendix K lists the intervening variables as defined by Yukl.

<center>Conclusion</center>

Despite extensive scientific research starting in the twentieth century, the leadership process is still not fully understood. However, the review in this chapter indicates that a number of major insights in the leadership process can be identified.

First, both leadership and management are essential for organizational success and are done by the same people. However, determining if those people do the right

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things right remains a problem due to subjective measurement tools, external influences, and the delayed effects of leadership actions. Therefore, using multiple measurement criteria provides the best possible solution for determining leadership effectiveness.

Second, effective managerial leaders find a mix of task, relations, and change oriented behavior that balances competing values and is appropriate for the current situation. Task-oriented behaviors are centered primarily on improving, or maintaining internal efficiency and coordination (management). Relations-oriented behaviors are concerned mainly with establishing and maintaining cooperative relationships based on trust and loyalty (leadership). Finally, change-oriented behaviors focus mostly on implementing changes in strategic objectives, strategies, structure, culture and work processes (management), and helping followers adjusting to those changes (leadership).

Third, the essence of leadership is influencing people. In order to influence successfully, a leader builds on his traits and skills. Traits are a part of a person's individual nature he is born with and are very hard to change. On the other hand, technical, conceptual and interpersonal skills can be learned through education, training and experience. The relative importance of different skills varies greatly from situation to situation, but some specific skills are useful in all leadership positions. While different successful combinations of skills and traits are possible, skills based on cognitive intelligence are especially relevant for effective task-oriented leadership (management). Alternatively, effective relations-oriented leadership builds more on emotional and social intelligence (leadership). Finally, effective change-oriented leadership relies on an equal use of cognitive and emotional skills (management and leadership).

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Fourth, effective leaders must adapt their influence style to the situation. Leadership style effectiveness is affected by the characteristics of the leadership position, type of organization, national and organizational culture, and by many internal and external constraints. Aspects of the situation also determine the need for leadership and can sometimes enhance, neutralize or substitute for it.

Fifth, effective leaders use both position and personal power to influence all stakeholders. This power is used in an ethical way and seeks to integrate the competing interests of different stakeholders. Additionally, it is used to empower followers in a way that is adapted to the situation. Based on their power, effective leaders at all levels use tactics to influence people in a direct or indirect way. They distribute and share their power within the organization to maximize their leadership effectiveness.

When integrating these findings, a description of an effective leader can be formulated: an effective managerial leader, based on his traits, skills and position power, directly and indirectly influences the stakeholders of the organization in an ethical way in order to achieve maximal organizational efficiency and effectiveness and to ensure the well-being of his followers.

The current state of research on leadership does not yet provide a universally applicable leadership model that encompasses all the identified aspects of leadership. Therefore, the best possible solution at the moment is establishing a model best fitted to an organization based on the combination of different mutual supportive and complementary theories.

Based on the findings of the literature review, the cornerstones of an effective generic organizational leadership model seems to be based on a

transactional/transformational type leadership which can be leveraged in response of a particular contingency, by leaders operating at one of the three organizational levels.

To ensure continuity, this leadership model must be underpinned by appropriate human resources practices that successfully identify pertinent traits, ensure that the leaders within the organization possess the required cognitive, emotional and practical abilities, and put the people with the right traits and abilities into the right positions.

CHAPTER 3

LEADERSHIP IN MILITARY ORGANIZATIONS

Leadership is a combination of strategy and character. If you must be without one, be without the strategy.

General H. Norman Schwarzkopf, US Army

Introduction

The leadership literature review in this chapter will focus on the military organization and will build further upon the findings in the previous chapter. The study of Western military organizations, the military profession and the environment in which they operate, will allow the author to determine to what extent the generic leadership model identified in the previous chapter can be used in the military environment. An overview of a number of Western armed forces will be included in this chapter. The conclusions of this chapter will serve as a basis to establish a leadership doctrine for the BDF. As already noted in chapter one of this research paper, if no relevant differences can be identified between the civilian and military environments, the assumption will be made that the principles appropriate for a civilian leader outside the armed forces are also valid for the military leader.

The Military Profession

The military can be viewed as a profession and a bureaucratic organization at the same time.

First, the view on the military as a profession will be studied.

A profession is defined by Zwerman, Haydt, and Thomas as an occupation:

1. Whose members claim exclusive mastery of a socially necessary body of esoteric knowledge.

2. That claims to provide an absolutely necessary service to the community and society.

3. That claims to act, altruistically, in the interests of the people it serves.

4. That claims that only its members can judge the qualifications necessary for practice, establish and maintain the educational facilities necessary for training, certify individuals for practice, and judge the adequacy of their practice once they are fully certified and working.

5. That develops a distinctive "occupational" culture which is founded on a values-based ethical code.

6. That is successful in gaining recognition from the public of its claims and successfully convinces the state that the above rights and privileges of the occupations must be enshrined in law (Zwerman, Haydt and Thomas 2003).

However, in Western society a military profession distinguishes itself from a civilian one in four critical ways:

1. It serves only its nation.

2. It is directly subordinate to the lawful direction of its own nation's civil authority.

3. It is a collective profession because it is the collective as a whole that acts. No individual or even a subgroup of individuals can accomplish the ends sought. A high degree of organization and specialization is therefore required.

4. Its members accept that they are subject to being lawfully ordered to kill people and/or to act under conditions that could lead to the loss of their lives.

This description of a profession is based on the classic "trait approach" but modern sociologists add a "power theory" to this definition which is based upon the assumption that professions exert occupational control and autonomy in relation to other professions, including bureaucratic managers (Hugman 1991; Aldridge 1996). In short, occupations are classified as professions partly on the basis of what they do and partly as a result of the power game they play.

Colonel Snider integrates this finding in his framework of the US Army professionalism by placing the US Army within a system of professions that is continually competing for members, resources and jurisdictions of expert knowledge (Snider 2000). Although established for the US Army, this framework provides a good tool for understanding the military profession in general (see appendix M).

Also studying the military profession, Janowitz identifies three major professional roles for the leadership within armed forces: the heroic leader, the military manager, and the military technologist. First, the heroic leader role is defined as a continuation of the classical views of a charismatic warrior leader. Second, he identifies the military manager as the professional who has effective links to civilian society and whose function reflects the scientific, pragmatic and objective dimensions of war-making. Third, the military technologist role involves the introduction and development of sophisticated technological innovations. He further states that a successful contemporary military organization requires all three roles simultaneously. In addition, he asserts that the

military must ensure that on each level of leadership within the organization, a right balance between those roles is found (Janowitz 1960).

Consistent with these findings, Harries-Jenkins identifies two distinctive models of military professionalism that are based on a comprehensive literature study he conducted (Harries-Jenkins 2003). These two theoretical constructs (the profession of arms and the pragmatic military profession concepts) are summarized in appendix N. Harries-Jenkins describes both concepts as a reflection of ideal types which, in reality, may not exist. He concludes that all contemporary military professionalism will exhibit features of both models but in different degrees, mainly because the pace of change varies from one national military organization to another.

In addition, Harries-Jenkins warns that the specialists of the pragmatic military profession face a professional dilemma. Indeed, the common civilian professional qualifications which often serve as a performance benchmark for this group encourage individuals within the armed forces to use civilian professionals as their reference group. A sense of relative deprivation, in terms of career, reward, conditions of service, and status, may result from this. At the same time, it is so that many of these specialists possess very transferable skills and that they are in demand in the wider labor market.

Professions focus primarily on developing expert knowledge in individual members so the latter can apply specific expertise in a professional practice. Therefore, a significant part of professional development is learning the ethics of the profession and the individual and collective standards of practice. Indeed, these are the attributes that create and help maintain the necessary trust between the profession and its clients.

Therefore, Snider posits that professions have a moral relationship (and obligation) with their trusting client and thus are often characterized by a professional ethos (2003).

Next, the military profession can also be seen as a complex bureaucracy.

Undeniably, military organizations rely heavily on impersonal exercise of power by using rational rules in order to reach the desired results. Furthermore, the hierarchy of offices and channeling of communication through such levels, a communication policy based on the need-to-know and clearly defined fields of authority determined by general rules and regulations are imbedded in the normal operation of the military.

A key element of Janowitz's work is his theory that the military is a dynamic bureaucratic system which changes over time in response to changing conditions in the parent society (1960). His underlying assumption is that the armed forces are experiencing a long-term shift towards convergence with civilian structures and norms. As a result of this trend, the traditional heroic-warrior role is giving way to a growing managerial-technical role. In short, the traditional model of the military as a profession is continually in a state of change in response to internal and external pressures. In addition, Harries-Jenkins identifies two major consequences of these pressures (2003).

First, as already mentioned in the previous chapter, modern effective organizations work more and more with teams that increasingly share the joint responsibilities of decision-making. Many of the project failures in contemporary organizations can be explained by not including qualified project managers or important stakeholders in the full decision making process. Thus, military organizations must include all of its members in their profession and not only some categories, solely based on education and rank.

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Second, societal pressures and demographical tendencies force the military organizations to fully integrate people who were previously excluded based on gender, ethnic, race, or nationality. In consequence, more emphasis must be placed upon the management of diversity while maintaining internal cohesion.

To cope with this evolution, appropriate mechanisms for dealing with cross-functional teams must be introduced. Military leaders working in this environment need strong multi-level leadership skills. Additionally, all military personnel need enhanced teamwork and followership skills.

The military's duality of being both a profession and a bureaucracy creates a continuous tension between the demand for effectiveness and efficiency in modern military organizations. This tension is elucidated by Snider. He explains that because bureaucracies focus primarily on efficiency, they promote the use of repetitive, routine operations and use non-expert knowledge through standing procedures, policies or regulations, more than through the professional expertise of their employees, in whom they often invest little. In contrast, professions focus on effectiveness. They use expert knowledge that is applied in non-routine situations. Their members are deeply developed by schooling and experience and apply their expertise through a variety of means, perhaps the most important of which is the repetitive exercise of discretionary human judgments (Snider, 2003).

Finding the right balance between the military's bureaucratic and professional natures remains a challenge. When its bureaucratic nature dominates, the military organization is likely to squeeze its professional practices into bureaucratic routines and tends to treat its professionals as employees. In this way, the military organization soon

loses all of the effectiveness of a profession. Additionally, since the military is at the same time a public bureaucracy, it is subject to the decisions of the state regarding its resources, even if these decisions do not support the best interests of the profession. Therefore, it is essential that the military organization is capable of managing its available resources as efficiently as possible in order to enable the profession to be effective.

<div align="center">Military Professional Subgroups in Military Organizations</div>

<div align="center">Military Organizations</div>

In terms of management theory, the military organization can be considered as an open organization with several layers of systems. Those continuously interacting systems can be categorized as production, war-fighting or integrating systems (Murphy 2003).

First, the production systems secure from their resource environments the "raw materials" for their numerous production efforts: recruiting and training people, searching for and providing or acquiring useable technology and dealing with producers of outside goods and services. Their primary task is to produce the "intermediate goods" needed by the war-fighting (combat) systems.

Second, the war-fighting systems convert those "intermediate goods" into mission-ready forces structured into units and organizations. Each element within such a system integrates soldiers, equipment and procedures in a way that creates combat power and combat readiness.

Third, the integrating systems tie all of the subordinate systems together. Their task is to decide what is to be produced or achieved by the whole of its systems and to see to it that they perform as expected.

Complex multilevel military organizations are designed following the principles of differentiation and integration.

First, the principle of differentiation dictates that an organization must be tailored to meet its specific requirements. Therefore, military organizations create different sub-organizations based on four criteria: (1) their missions, (2) their focus on time (short, mid or long term), (3) degree of formality of structure (rules, job description, chain of command, and adherence), (4) interpersonal orientation or ways of dealing with their people (mission-oriented versus concern for relationships). Based on this principle, most military organizations incorporate services that are specialized in land, air and sea operations. Within each of these services, production, war-fighting and integrating systems, each tailored to their mission, can be found.

Second, the principle of integration provides the necessary coordination and interdependence of highly different structures. Based on their level of complexity, three means of integration can be identified: (1) standard rules, procedures and doctrine, (2) plans or orders and (3) closely coordinated contact within the chain of command and the use of cross-functional teams (Murphy 2003).

<center>Military Professional Subgroups</center>

Specific relations between the three identified kinds of military systems and Harries-Jenkins' two military professions can be distinguished. People working in the production systems are mainly members of the pragmatic military profession. People working in the integrating systems can be members of the profession of arms or the pragmatic military profession. However, the composition of the war-fighting systems is more complex.

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Members of the war-fighting systems can be classified in three categories: combat, combat support and combat service support specialists.

First, the combat specialists are those members of the military war-fighting systems who are firmly linked with the heroic leader role of the profession of arms.

Second, in land services, the combat support specialist becomes more and more closely associated with the combat specialist since the distinctions between combat and combat support roles become increasingly blurred in contemporary military operations. Similarly, within sea services, combat and combat support specialists are intertwined. However, due to its specific mission requirements and operating environment, the distinction between combat support and combat support specialists is not made in the air services.

Third, the function of combat service specialists is still very similar to that of their counterparts in the military production systems or in civilian society and is in contrast to the specific military roles of their fellow war fighters. It is worth mentioning that their retention within the combat support services can be difficult when their expertise is discounted by peer groups and their status denigrated, especially when they are not considered by the other war-fighting specialists as "real soldiers" (Harries-Jenkins 2003).

A diagram of a generic military organization and its relation to the concept of profession of arms and concept of pragmatic military profession is visualized in appendix O.

<u>The War-fighting Specificity: Killing and Dying</u>

The military profession distinguishes itself from other professions or organizations (with the exception of some parts of law enforcement organizations) by the

fact that it might require its members: (1) to kill other people or, (2) to die while

accomplishing their mission or, (3) to order others to do the same. Therefore, in order to

fully comprehend this specificity, it is imperative to understand the consequences of the

potential to kill and/or die.

<center>Leadership Consequences of Killing</center>

Grossman's work "On Killing" provides an insight in the influencing process a

soldier has to undergo in order to be able to kill (Grossman 1995). An overview of his

findings can be found in appendix P.

Especially of interest for this research paper is the role the leader, the group and

the physical distance between the soldier and his victim plays in this process.

<u>Role of the Leader</u>

Three findings are of particular importance. First, observations were made during

World War II (WWII) that soldiers in combat situations drop their fire rate significantly

when their leader leaves their immediate vicinity. Second, Israeli studies show that the

primary factor in ensuring the will to fight is identification with the direct leader (Shalit

1988). The study also shows that compared with an established and respected leader, an

unknown or discredited leader has much less chance of gaining compliance from soldiers

in combat. Third, leaders with legitimate, socially approved authority have greater

influence on their soldiers; and legitimate, lawful demands are more likely to be obeyed

than illegal or unanticipated demands (Grossman 1995).

Thus, the direct leader's role is essential for ensuring combat effectiveness. These

findings bring Freud's statement to mind: never underestimate the power of the need to

obey. Grossman also mentions that in many combat situations the ultimate mechanism

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that leads to defeat is the group leader who lacks sufficient mental courage and can no longer bring himself to demand sacrifices by his men.

Role of the Group

Grossman states that the probability of an individual participating in combat is significantly increased when this individual is bonded with his comrades and if he is with his group. He further claims that the bond between war comrades is distinctly different from the generalized cohesion of the military as a whole.

Grossman's extensive research in the matter indicates that the primary factor that motivates a soldier to kill (and even to die) in combat is a powerful sense of accountability to his comrades on the battlefield. Group members that are bonded closely together undergo a powerful process of peer pressure in which the individual cares so deeply about his comrades and what they think about him that he would rather die than let them down.

In addition to creating a sense of accountability, groups also enable killing through developing in their members a sense of anonymity that contributes further to the killing process.

Role of Physical Distance between the Killer and his Target

Grossman explains the direct relationship between the physical proximity of the victim and the resultant difficulty of killing him/her. This relationship is shown in appendix Q.

At one end of the spectrum are bombers and artillery, which illustrate the relative ease of long-range killing. The closer the victim is to the killer, the more resistance to killing the latter will experience. To ensure combat effectiveness, it is imperative that the

military leader reduces this resistance by organizing effective training activities and being close to the soldier who has to kill at close range.

Leadership Consequences of the Potential Requirement of Dying

The distinct character of the specific leadership needed in war-fighting units where the dying (and killing) process is most likely to occur, was clearly demonstrated by Gabriel and Savage. They studied the leadership crisis among US officers in Vietnam. They compared military leaders in combat units with managers in the civilian business sector. Their main argument was that the combat officers in Vietnam were overly influenced by a business management ethos. Gabriel and Savage conclude that the combat leaders behaved as "battle managers" but were not able to provide the required military leadership (Gabriel and Savage 1981).

Another relevant study done by Popper examines leadership in different organizational and social contexts by focusing on the psychological interaction between the leader and the led. She identifies three ways to cause people to perform tasks. These are: (1) formal authority, (2) use of positive or negative reinforcement, and (3) emotional influence. She further states that these ways are used differently in different organizations. In "total institutions" formal authority is the main (and sometimes even the sole) source for making members act. In business organizations, people are motivated to act primarily by educated use of social rewards, material or financial benefits and prestige. Conversely, in organization such as war-fighting units, the sources of motivation are mainly emotional. Popper further explains that formal authority only produces obedience, while educated use of rewards evokes mainly performance dependant on instrumental rewards. She concludes that only emotional influence may create the

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willingness to do things that are far beyond the expected routine tasks, including the willingness to risk one's life (1996).

Only members of the war-fighting profession are confronted with the possibility of death or physical (and mental) injury within the military organization. This possibility creates overt and suppressed levels of anxiety that is incomparably higher than what is experienced elsewhere. This high level of anxiety creates and intensifies the longing and desire for a leader who is capable of reassuring and relieving deep anxieties. In this environment, the leader is a possible psychological answer to the need for security and purpose. Therefore, Popper states that the leader provides a response to deep emotional processes and he himself generates emotional processes (1996).

<div align="center">Preparing for Killing and Dying</div>

Consistent with Grossman and Popper, both Wiener and Shamir provide additional insights on how leaders can prepare themselves and their soldiers for killing and possibly dying.

First, Wiener studied what he calls "the normative commitment" in organizations. He specifies that normative commitment is rooted in the individual's personal values and is not necessarily connected to the concept of (immediate) reward (1982). Liphshitz and Popper build upon Wiener's study and conclude that there is evidence indicating that normative commitment is even strengthened in absence of immediate rewards. They claim that the greater the investment, sacrifice and price paid, the stronger the normative commitment. They explain that this strengthened commitment is caused by the individual's need to rationalize emotional actions and decisions. These findings are

especially relevant for soldiers in elite combat units who are characterized by extremely high normative commitment (Liphshitz and Popper 1992).

Second, in another study of combat leadership, Shamir explains the importance of providing a worthy motive to soldiers in combat. He states that leaders in this environment must serve as a catalyst giving meaning to their soldiers' feelings and actions. They must make an emotional impact by arousing what Shamir calls the "worthiness motive." This motive is defined as the wish to belong to certain groups and collectives that dictate criteria for doing "worthy things" (1991).

In consequence, leaders must complement training with activities that raise and strengthen Shamir's "worthiness motive" and Wiener's "normative commitment." Furthermore, a leader's effectiveness in creating an emotional effect is directly related to his ability to clarify the worthiness motive and enhance the normative commitment of the group's members. An excellent example of this is President Kennedy's saying: "Ask not what your country can do for you, but what you can do for your country" (cited in Liphshitz and Popper 1992).

This approach explains also the reason why it is important for combat units to make extensive use of symbolic elements and rituals related to "esprit de corps" and to put an emphasis on the unit's behavioral codes and worthy goals.

<u>Command and its Relation to Leadership and Management</u>

Because the military is the state's instrument that is charged with the ultimate exercise of power, it is controlled by the political arm of that state. This tight control is manifest in the fact that only politicians can order the start of military action. In addition,

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once an operation has started, only those in military command are authorized to direct it. Therefore, the concept of command will be briefly examined.

NATO describes command as "the authority vested in an individual of the armed forces for the direction, coordination and control of military forces." The US Department of Defense (1987) adopted a broader definition: "the authority that a commander in the military services lawfully exercises over subordinates by virtue of rank or assignment. Command includes the authority and responsibility for effectively using available resources and for planning the employment of, organizing, directing, coordinating and controlling military forces for the accomplishment of the assigned missions. It also includes responsibility for the health, welfare, morale and discipline of assigned personnel."

Nye describes command in wartime as assuming responsibility for taking and saving human lives. He explains that command in peacetime involves directing how human beings will conduct themselves relative to each other by setting moral standards and assuring compliance. As a result, an unusual concentration of position power, generated by specific legal ordination, is created in the function of command.

Command encompasses the overlapping functions of leadership and management and focuses on the effectiveness of the unit or organization.

According to the US Department of Defense's definition of command, the person in command must be a manager to accomplish successfully the process of planning, organizing, coordinating, directing and controlling resources to accomplish the organizational mission. However, Nye warns commanders not to limit their vision to management theory based on research in civilian organizations. He states "management

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literature is virtually silent on the commander's requirement to shoulder 24-hour responsibility for 'employees', whose livelihood and motivation depend substantially on federal law and bureaucracy. The commander will not find in typical management theory the insights and values that explain to soldiers why their unit is more important than they are, why it can be sacrificed to national need, and whether they may live or die in the process" (Nye 1992).

To command is more than to lead soldiers if military leadership is a process by which a soldier influences other soldiers to accomplish the objectives. The multitude of a commander's additional roles becomes clear when Nye posits that the commander must also be a tactician and strategist, a technician and logistician, a warrior and moral arbiter, a disciplinarian, a trainer, and a soldier of great physical and mental endurance. Additionally, the commander must take care of the wellbeing of his soldiers and their families.

What the commander does have in common with the civilian leader is that the higher he is situated on the organizational level, the more he finds himself pulled among the many roles expected of him.

<u>The Contemporary Operational Environment</u>

The rapidly changing technological, political, moral, and societal forces in the global environment continue to present new challenges to the military leadership.

A first challenge is created by the increase of low-intensity warfare operations which presents a change from regional to global warfare. The growing number of intra-national wars, insurgencies, and terrorist activity heighten the requirements for understanding how political and social factors complicate the use of military force. In

addition, a better understanding of both high-intensity and low-intensity warfare intensifies the need to apprehend the religious, historical, and cultural backgrounds of the regions of operations.

A second challenge is the increasing tempo of operations. The need for fast decisions has increased because of the enhanced speed of modern military equipment, the rising lethality of weapons, and the networking of modern communications. Despite emerging technologies, enemy intentions remain vague, forcing commanders to take decisions despite misinformation or lack of critical information.

A third challenge is the increasing convergence between the different levels of war. For instance, the omni-presence of media organizations and non-military organizations within the contemporary theaters of operations can cause tactical actions to have strategic consequences.

A fourth challenge is finding the right balance between centralization and decentralization of authority. Modern communications and the growth of large staffs capable of assembling and assimilating great amounts of data encourage centralization of command and control at the highest levels. On the other hand, due to increasing complexity and ambiguity of the contemporary military operations and the wide dispersion of forces, authority must be delegated to allow subordinate commanders to use their own initiative in achieving their military goals.

A fifth challenge is the growing demand for cooperation between different national and international agencies and military services, due to changing operational and strategic concepts such as joint warfare and the increasing need to operate within international alliances or coalitions. In addition, cooperation between military

organizations and civil governmental or nongovernmental organizations become more

and more common in peacetime and during military operations.

In conclusion, the contemporary operational environment demands a successful

integration of an increasing spectrum of talents and skills of the military across peacetime

and wartime scenarios. Therefore, one of the greatest challenges for today's military

leaders may be to determine how to deal with the different forms of leadership required

in routine peacetime functioning, low-intensity and high-intensity operations.

<center>Military Effectiveness</center>

In order to determine military effectiveness, the broader effectiveness

requirements of the military must first be determined. Zaccaro and Klimoski formulate

this point of view as "leadership is at the service of collective effectiveness" (2001).

To measure effectiveness, a one-dimensional model is inadequate because it can

not consider all the goals of a military organization. For instance, a "cult of efficiency"

can easily divert a military organization away from the very quality and effectiveness of

its core services. The most frequently used example of this phenomenon is the US

Defense Department's Planning, Programming, and Budgeting System introduced by

Secretary of Defense McNamara that was applied to fighting the war in Vietnam by the

numbers and as economically as possible (Summers, 1981).

Therefore, comprehensive and balanced models of organizational effectiveness

are better tools to determine effectiveness.

One of the best-known models that apply to these standards is the balanced

scorecard developed by Robert Kaplan and David Norton (1996). However, this model is

developed for non-military organizations and is not developed to include the specificity

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of the war-fighting units. Therefore, a multidimensional model of military operational effectiveness that is more representative of the contemporary military context and more modern effectiveness theories will be examined.

A Military Operational Effectiveness Model

The growth of low intensity warfare has made the determination of military operational effectiveness more difficult. Historically, military effectiveness was directly related to the performance of a unit in combat. Winning wars was about winning battles (Reiter and Stam III, 1998). However, in low intensity operations the use of weapons to impose will may not be essential to mission success or may even be counterproductive.

In addition to the changing nature of operations, the nature of the national expectations is shifting also. Undertaking a military operation within the conventional context of war is usually based on a national will to defeat the enemy, despite human, fiscal, and political costs. However, most Western military organizations are operating nowadays in a very different socio-political context and are subject to public examination. This scrutiny results in a higher financial, ethical, and moral accountability of the military organizations towards their nation's people (Villeneuve et al. 2000).

Villeneuve et al. propose a five dimensional model (human, economic, ecological, systemic and political dimensions) that enables the measurement and management of unit effectiveness in operational and non-operational environments. In addition, since the notions of change and development are implicit in leadership, they state that the model is a useful tool not only for managers but also for commanders. They argue that the results of the measurement of unit effectiveness can be used as grounds for setting and executing managerial practices that can implement the organizational change and development

conceptualized by the leaders (Villeneuve et al. 2000). The model is depicted in appendix S.

However, both the BSC and Villeneuve's effectiveness model lack a "values-dimension." As a public service, the military organization's policies and systems must be aligned with the core societal (for example: respect for democracy, conformity to the rule of law, protection of individual rights and freedom, social responsibility, public accountability, etc), professional (for example: service to nation, loyalty, competence, duty, obedience to authority, discipline, courage, quality orientation, etc) and universal ethical values (for example: integrity, civility, fairness, participation, respect for diversity etc). The incorporation of such a values-dimension ensures the acceptability of the military effectiveness model to the people, the government and the military leadership.

<u>Leadership Approaches of other Western Military Forces</u>

As stated in chapter one, the military leadership approaches of some of the European key partners of the BDF such as the French, German, British, and Dutch armed forces will be examined. To include transatlantic partners, the approaches of the Canadian and US Armed Forces will also be reviewed.

French Army

There is no leadership doctrine for the whole of the French Armed Forces. Because it is the most recent, the leadership approach of the French Army will be examined (Armée de Terre 2003 and CDEMS 2003).

First, leadership and management are considered to be part of command. The emphasis of the leadership doctrine lies in the authority and responsibility of the commander who has to respect his subordinates. Since leadership is considered to be

primarily an art, no specific leadership model or rules are developed. Leadership styles are considered to be expressions of the personality and particular situation of each individual commander. Only a few fundamental principles are defined to guide the commander: be demanding, competent, decisive, humane, just, and confident.

Second, command is exercised by determining and imposing objectives. Large initiative and responsibility is given to the subordinates to accomplish those objectives. This approach is seen as perfectly representing the democratic values and the right of each individual to determine his destiny. In this view, obedience is only demanded to reach ethical ends and each member of the French Army has the right and the duty to disobey an unethical order.

<p align="center">German Armed Forces</p>

The German leadership doctrine is developed for, and adopted by, the entire military organization.

First, German military leadership is strictly orientated towards respect of democratic values and human rights (respect for human dignity, right of free speech, and tolerance). A special war-fighting dimension is added by stating that it is the duty of each military leader to risk his life or that of his subordinates but only when it is necessary for the accomplishment of the mission.

Second, the doctrine describes important leadership competencies in three domains: technical, interpersonal, and ethical (see figure 2). These three domains are supported by the ethos of Innere Führung. This ethos ensures that the Bundeswehr executes its mission to realize the values and norms stated in the German Constitution and to concretize the idea of the "uniformed member of the state." This idea is based on

the belief that a soldier's civil rights surpass the execution of the orders he has received. Thus, unethical or illegal orders should not be executed. In addition, soldiers execute orders not because they are ordered to, but because they are convinced and believe that the execution is necessary.
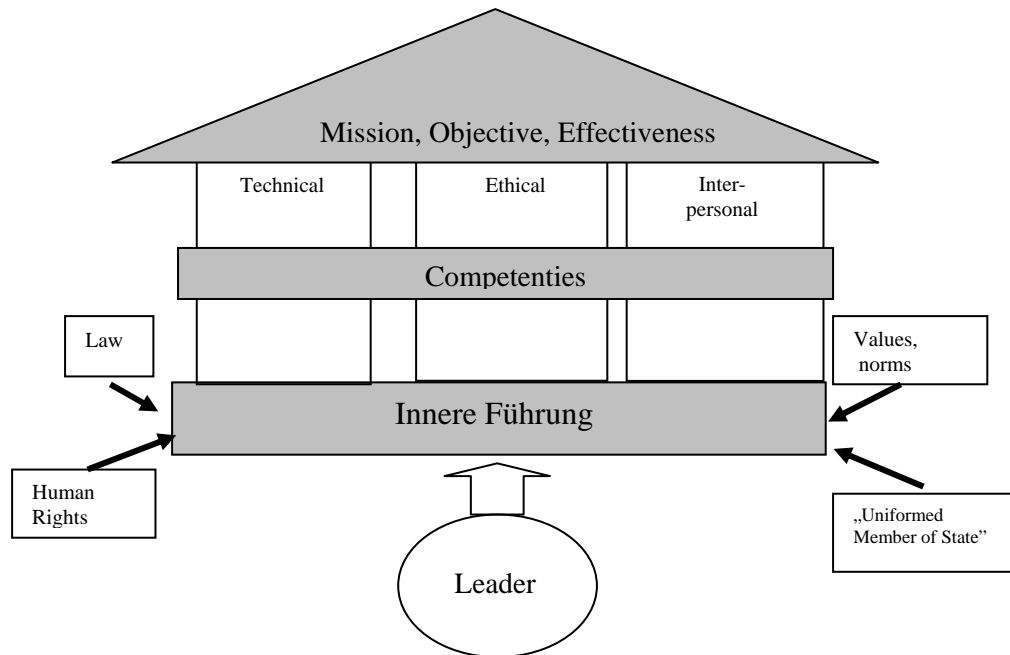
Figure 2.   German Armed Forces Leadership Doctrine
Source: S. Haug, Leiderschap bij de Duitse strijdkrachten tijdens multinationale operaties (Laken, Brussel: KHID, 2003).

Third, the Bundeswehr's leadership doctrine prescribes three leadership styles depending on the situation (see figure 3): (1) the "traditional" leadership style is primarily based on formal authority and position power of the leader and is used mainly during basic training, (2) the "cooperative" leadership style encourages co-responsibility and stimulates subordinates' competences, initiative and commitment, and is mainly used in normal day-to-day situations, (3) the "personal" leadership style creates trust,

comradeship, and cohesion through the example and charisma of the leader and is used primarily in crisis situations.
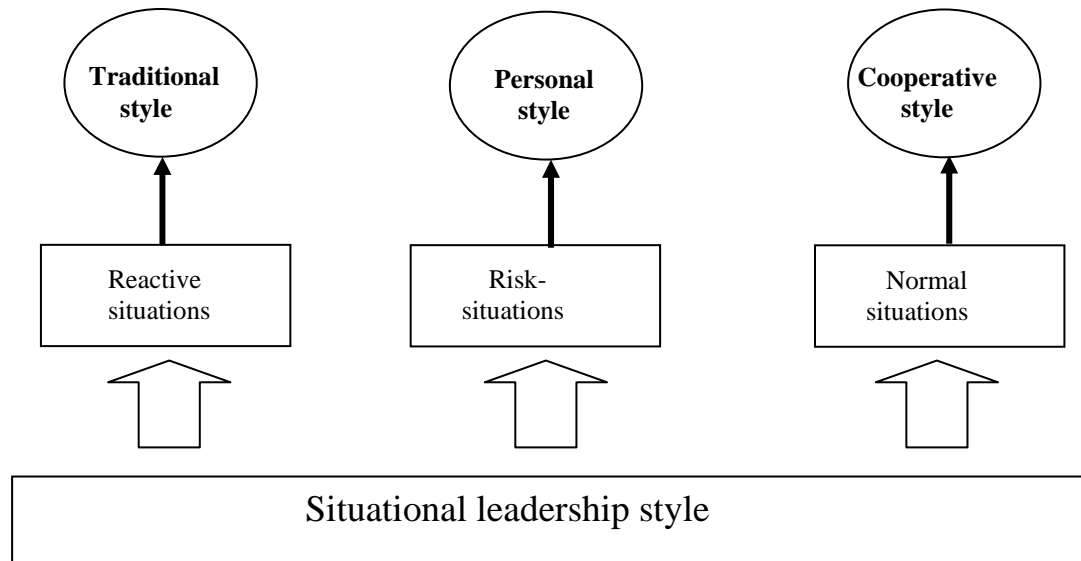
Figure 3.   Situational Leadership Style in the German Armed Forces
Source: S. Haug, Leiderschap bij de Duitse strijdkrachten tijdens multinationale operaties (Laken, Brussel: KHID, 2003).

Fourth, German military leadership is further based upon the concept of Auftragstaktik (leadership by objectives). This concept further specifies that every leader must be trained to perform on the next higher level in the hierarchy in order to fully understand and anticipate the intentions of the higher echelon (Haug 2003 and Widder 2002).

Dutch Army

The Dutch Armed Forces have started their reorganization into a joint structure in the beginning of 2004. In the previous structure, the development of a leadership doctrine was a responsibility of each service. A joint leadership doctrine has not yet been

developed. Therefore, the most recent and comprehensive doctrine, that of the Dutch Army, will be examined.

First, command has three components: leadership, decision making, and giving orders. A separate command and leadership doctrine are developed but both are closely linked. The command doctrine is based on the concept of command by objectives which must be seen as "a way of life" for every soldier in wartime as well as in peacetime. The leadership doctrine describes a military leader as leader of a team whose members complement each other to perform tasks and accomplish objectives. Therefore, independent action, mutual trust, and respect are the main pillars of Dutch military leadership.

Second, the doctrine is based on the concept of inspirational leadership. The doctrine refers to situational leadership when it states that inspirational leadership is more effective in difficult situations such as uncertainty, high risk (especially life threatening), and when norms are unclear. Also, the doctrine recognizes that strong and independent followers are essential factors for the effectiveness of inspirational leadership.

Third, the doctrine does not incorporate a leadership model based on the belief that there is no ready made recipe for effective leadership. However, guidelines for leadership training within the Dutch Army have been developed, including a list of a leader's key requirements and necessary knowledge and insights.

British Armed Forces

The Royal College for Defence Studies recently developed a leadership doctrine for the entire British military organization.

First, the leadership doctrine recognizes that leadership and management are the key components to the successful exercise of command. Successful management is measured against objective criteria but commanders are not leaders until their position has been ratified in the hearts and minds of those they command.

Second, military leadership is considered to be visionary and to be the projection of personality and character to inspire sailors, soldiers, and airmen to do what is required of them. However, there is no prescription for leadership and no prescribed style of leader. Military leadership is considered to be a combination of example, persuasion, and compulsion dependent on the situation. It should aim to transform and be underpinned by the concept of mission command and a balance of military qualities and skills. A successful military leader is a managerial leader who understands himself, his people, the organization, and the environment in which he operates.

<div align="center">Canadian Forces</div>

The Canadian Forces (CF) are in the process of reorganizing into a joint structure. In 2003, CF have published the manual "Duty with Honour: The Profession of Arms in Canada." It is designed to provide all members of CF with a clear definition of what it means to be a Canadian military professional and to describe the military ethos that is critical to continued operational success. Three facets of this publication are particularly relevant for this research paper: the view on the profession's expertise, its identity, and the role of leadership in the concept.

First, the concept recognizes that internally, the profession's expertise is clearly differentiated and distributed throughout the profession. Because primary importance is granted to operations, expertise is organized around a core of skills (such as combat

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leadership) that are directly related to the application of military force. Specialized and support knowledge then permit the core body of knowledge to be most effectively applied.

However, although military professionals are differentiated in part by the kinds of expertise they possess, the profession must still act as a coherent whole. Therefore, a common body of knowledge plays an integrating role through the development of a basic understanding of the generation and use of armed force. This allows each member to relate his function to the overall objective of the ordered application of military force. Besides such subjects as Canadian military history, this common knowledge includes fundamental leadership theory, management theory, role of military forces, theory of military professionalism, communications and ethics.

Second, the manual states that there are distinct military professional identities. The members of the Canadian military profession are differentiated first by operational environment (sea, land and air) and then by the support and/or specialist function they perform in operations. They are further differentiated in operations by specific roles within each of these functions. Finally, members of the profession are clearly differentiated according to rank. However, emphasis is placed upon the fact that military professionals in Canada are unified by a concept of loyalty to the CF that transcends particular differentiation by operational environment or role.

Third, the concept places the military leadership at the heart of the profession. Military leaders set the necessary standards. They maintain and improve the profession by inspiring and motivating all members to live up to the military values and ethos. Loyalty of subordinates is earned by the leader's indisputable integrity.

The manual further specifies that the integration in CF doctrine of such concepts as teamwork and leadership is the shared responsibility of the Department of Defense and the three services. At the time this research paper is being written, the process is still ongoing.

However, the Canadian Leadership Institute has already developed a leadership process model adapted specifically to CF's. This model is represented in appendix R. It adapts and extends Yukl's Integrating Framework as it is represented in appendix J, in three ways.

First, in the central process which links leader behavior to organizational results, the model incorporates the managerial actions of diagnostics, flexibility in influence and change processes, and monitoring (follow-up) and adjusting behavior through feedback loops (Plan-Do-Check-Act).

Second, Yukl's results variable is modified to define CF organizational effectiveness in terms of relevant first-order outcomes or values (mission success, internal integration, etc.) and relevant second-order outcomes or values (CF reputation, trust and confidence, etc.).

Third, by incorporating certain concepts of military professionalism, this model reinforces a value-based philosophy of leadership. It also extends the value-based philosophy in moral terms: (1) by requiring all actions to conform to civic, legal, ethical, and professional values, and (2) by accentuating leader integrity as a critical moderator of leader influence.

United States Army

There is no leadership doctrine for the whole of the US armed forces. Because it is the most recent and the most elaborate, the leadership approach of the US Army will be examined (US Army, 1999).

First, although the doctrine addresses all Army leaders (military and Department of the Army civilians) it is primarily written for members of the profession of arms. It is a comprehensive reference that explains which values and attributes (BE), skills (KNOW) and actions (DO) a leader needs to be effective, but leaves him enough freedom to adapt his actions to particular circumstances.

Second, the doctrine is based on transformational/transactional leadership theory and recognizes the importance of contingency leadership by integrating the four leadership styles of the Hersey and Blanchard's situational model (directing - encompassing the telling and selling styles-, participating, and delegating style).

Third, the doctrine sees the military leader as a managerial leader who faces different challenges as he moves through the three leadership levels (direct, organizational and strategic). The concept of mission command is integrated in the doctrine. Increased importance is placed on self development of the leader and his role in the development of his subordinates.

Fourth, at the same time this research paper is written, the doctrine is being revised and updated to include emerging findings in the field of leadership. The integration of the concept of life-long learning combined with the integration of self-awareness and adaptability must create the conditions to acquire new competencies to meet new and unforeseen demands in a rapidly changing and complex world. In addition,

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more emphasis will be placed on the following attributes: self-discipline, mental agility, initiative, physical/mental toughness, technical and tactical competence, and teamwork. The new manual will receive a new designation: Army Leadership FM 6-22. Publication is planned in 2005/2006.

<center>Integration of Findings</center>

<center>Balancing Competing Interests and Managing Diversity</center>

Caused by changes in society and the global environment, the military profession is moving from a unitary profession that is strongly rooted in a hierarchical bureaucracy particularly focused on command and control leadership of military in combat (profession of arms), to the managerial leadership of a diverse group of occupations and specializations (pragmatic military profession) within a less culturally cohesive community with more varied roles to play in society.

This evolution requires careful management of the cultural changes necessary for these two professional groups to work together in a new environment. Military leadership concepts need to account for this evolution accordingly.

Indeed, incorporating this new diversity into the military profession requires a much broader and more comprehensive form of leadership. The traditional command and control functions must be balanced with a more shared leadership style that fosters effective functioning of cross functional teams throughout the organization. In addition, this shared leadership style must be suited to operate in a multinational environment characterized by a blend of organizational and national cultures and values.

This broad form of leadership must also accommodate for the competing interests that were identified in this chapter.

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First, at the highest organizational levels there is the tension between the need to embrace the military profession to consolidate the military specificity and the necessity to hold on to a bureaucratic organization to ensure maximal efficiency of the scarce available resources. It is worth mentioning that because the military profession is such a collective one, the profession itself has a tendency to engender an internal bureaucratic organization.

Second, within the military profession, there is a situational disparity between the members of the classic profession of arms (which from now on will be called "war-fighting profession", while the designation "profession of arms" will be used to indicate the larger military profession) and the members of the new pragmatic military profession.

The members of the war-fighting profession can be ordered to kill people or to operate in life threatening conditions. In contrast, most members of the pragmatic military profession function in a much safer environment. If they are called to use deadly force on a close target, it is likely that it will only be in self-defense. As explained earlier in this chapter, successfully preparing for and dealing with the killing process and the danger of undergoing physical and moral harm is essentially an affectional process underpinned by emotional influences emanating from the immediate peer group and leaders. As a result, successful leadership on the lower levels of the war-fighting units is far more correlated to the leader's emotional and charismatic abilities than anywhere else in the organization.

The position of commander is an affirmation of the war-fighting specificity. A commander is a military leader who is given tremendous potential to influence their soldiers to kill or to prepare them to cope with death. This potential is derived from the

commander's position power which is embedded in the military's power hierarchy and backed up by the legitimate authority of his nation. However, this position power must be complemented by a high level of personal power and reinforced by the commander's loyalty and integer behavior to be fully effective.

Third, within each of the two military professions, different subgroups with each having their own identity, culture and expertise, can be found.

In the war-fighting profession, leadership differences between land, air and sea services are primarily caused by the distinctiveness of their operating environment.

At the individual tactical level, the leadership skills needed in each operating environment are more often than not very different. Soldiers in land operations have opportunities for evasion. Therefore, most Army leadership doctrines are based on the concept that leaders must persuade their followers to accept military goals to ensure their compliant behavior. Leadership doctrine in air and navy services focus less on that concept because sailors and flyers have fewer evasion possibilities. Indeed, they are more confined to mobile steel shells which facilitate the control of their leaders. Crewmembers have more predetermined functions which are vital to safety and success. They have also generally little awareness of what fellow crewmembers are doing. Only the captain of the vessel or plane knows the overall situation and initiates action. In consequence, the actions and styles of a successful tactical land combat leader will be different than the ones of an even successful leader on the tactical level in the other services. In addition, the influence of the physical distance between killer and target as explained by Grossman's killing theory, reinforces the statement that there are different leadership

requirements in units where the killing is at close range (such as infantry) and units where the target is further away (artillery, Air Force, Navy).

On the contrary, at higher tactical levels, the orchestration of military operations and the leading of forces into battle demand leadership skills that have much more in common. At the operational and strategic levels, the core body of knowledge and skills can be considered essentially the same. Furthermore, the growing number of joint, combined and interagency operations will have an even more integrative influence.

On the other hand, in the pragmatic military profession, leaders have to lead and coordinate highly differentiated support systems. These systems are often populated by a very homogeneous population who operate in a highly diverse and regulated environment. Furthermore, a number of (military and civilian) members possesses an expertise that is not specific to the military but can even be organized in its own right by civilian professions. In this environment, technical, interpersonal, and managerial skills are the primary fundamentals of a successful leader.

However, in a military organization, the collective must continue to act as a whole to accomplish the ends sought. Therefore, it is important that all members of a military organization accept to have a common identity that is unique and distinct within their national society.

Fourth, within the war-fighting profession new leadership challenges are emerging, caused by the expansion of the spectrum of conflict with low-intensity operations. For instance, on the tactical level in peace support operations (PSO), a number of issues can be identified that are of particular interest for commanders. An example of such a list is represented in appendix T. Successfully dealing with these

issues means that competencies in psychology are as important as technical and tactical ones, and that cross-cultural and socio-psychological abilities are becoming indispensable.

Internal Socialization

Today's military leaders must pay extra attention to the internal socialization process and take into account the diversity of backgrounds of those joining the organization.

In the war-fighting profession, internal socialization remains essential to prepare its members for those situations involving killing and the potential of dying. Such a preparation process is very difficult, if not impossible, to create in a bureaucratic organizational environment.

For the whole organization, the military education and socialization process can be used as a powerful tool to create common expectations of what a leader must know and do. Creating a common leadership schema in such a way results in a better cohesion and cooperation between all members of the military profession and provides better transparency and understanding of leadership throughout the organization.

Competition with other Professions

Contemporary military leadership faces the challenge of attracting and retaining talented individuals at a time when most armed forces have strict budgetary restrictions but still require their members to execute demanding and dangerous missions.

In the war-fighting profession, socialized members are less inclined to leave the military organization because of the military specificity of their skills. However, new incoming members are better educated than in the past as a result of societal and

organizational influences. Those better educated soldiers have more and different

capabilities, needs, and aspirations. In consequence, their requirements for a better

quality of life and well-educated and competent leadership are higher than in the past.

Consequently, if military leadership cannot fulfill their needs and expectations and is not

able to create a sufficient level of normative commitment and worthy motive, the

socialization process will fail and result in the loss of the member for the organization.

However, even when military leadership is competent and the socialization

process is successful, war-fighting personnel still expect some reward for their sacrifices.

Organizational motivation tools such as career mobility, medals, and small financial

compensations are important, but are largely overshadowed by the effects of public

recognition on the individual's self-esteem.

In contradiction to the skills of their war-fighting colleagues, members of the

pragmatic military profession possess skills that are in demand also outside the military

organization. Therefore, these members can more easily compare their financial

compensation and quality of life with that of their civilian counterparts. However, most

military organizations cannot offer financial compensation that equals that offered in

civilian organizations. Therefore, the concepts of normative commitment and worthiness

motive must be used to counter the financial attractiveness of civilian employment and to

retain the members in their pragmatic military profession.

Most Western armed forces build organizational cohesion (and thus retention) by

translating the normative and worthiness motive into a professional ethos that bonds

individual, organizational, and national values. This value-based ethos shapes and guides

the members' conduct and simultaneously allows a relationship of trust to be maintained with their nation.

Doctrinal Leadership Similarities in Western Military Forces

Comparing the leadership approaches of a number of Western military forces (4 European and 2 North-American) allows us to identify important similarities: (1) all approaches implicitly or explicitly identify a distinction between a military leader and a commander and recognize the distinct position power and additional responsibilities of the latter, (2) democratic and individual values form the cornerstone of every reviewed leadership doctrine, (3) all concepts acknowledge the important influence of situational variables on the effectiveness of leadership styles, (4) the principles of management by objectives (mission command) are embedded in the functioning of the six forces, and (5) all, except for the French Army, integrate all or most principles of transformational leadership (in some cases the notions inspirational, charismatic or visionary leadership are used).

In addition, two particularities can be identified: (1) the six reviewed Western armed forces are undergoing fundamental environmental and organizational changes which is reflected in the recent or ongoing adaptation of their leadership concept, and (2) when there is no leadership doctrine, the land service (Army) has the most recent and elaborated leadership doctrine (which is consistent with the particularities of the operational environment of its leaders identified earlier in this chapter).

Thus despite national variations, a kind of common core of military professionalism and culture exists in the reviewed Western armed forces.

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Conclusion

In this chapter, military organizations were analyzed through the study of the military profession and the contemporary environment in which they operate. In addition, leadership doctrines of six Western armed forces were analyzed to further discover the military leadership specificity. The final purpose was to determine to what extent the generic model for effective leadership that was identified in the previous chapter can be used in military organizations.

The analysis of the military organization reveals:

First, the military is, on one hand, a vocational profession focused on effectiveness, on developing expert knowledge of warfare and its application by human experts, and on the other hand, it is complemented by a hierarchical bureaucracy focused on efficiency by applying regular knowledge through routines, procedures and checklists.

Second, more than in civilian organizations, leaders' position power is enhanced by substantial legitimate authority (legal and symbolic aspects of military rank and command), as well as reward power (control over development, promotion, and assignment decisions) and coercive power (code of discipline and powers of punishment).

Third, members of the profession of arms are differentiated on the basis of their involvement in what makes the military profession unique: the ordered use of force. Military personnel who actively participate in this use of force are primarily members of the war-fighting profession. They are further differentiated by the operational environment they operate in (traditionally: land, air and sea services). The military members outside the war-fighting profession are differentiated by the support and/or specialist function they perform. All members of the profession of arms are further

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differentiated by specific roles within each of their functions. A common identity as military professionals and a shared value-based ethos must unite all members of the profession of arms regardless of their rank, since the military profession can only be practiced collectively.

Fourth, leadership interaction is largely dictated by patterns derived from the situational characteristics or more accurately, the psychological implications derived from these characteristics. For instance, the possibility of killing and dying and the specificities of the operational environment wherein the war-fighting professionals have to function, engender far more emotional leadership requirements than elsewhere in the military organization. This gap between leadership requirements decreases when going up the levels of the organization.

The analysis of the military environment and a number of Western armed forces reveal:

First, Western military organizations are adapting to their rapidly changing environment. In consequence, their leadership concepts are changing accordingly. In order to balance competing demands and manage diversity, the revised military leadership concepts try to combine the specialized management functions of a technical leader with the more traditional roles of combat troop leadership. This must allow the military leader to accomplish the organizational goals and to ensure the well-being of his subordinates. To that end, the amended leadership concepts rely on principles of contingency and transformational leadership theory.

Second, all analyzed leadership concepts incorporated the doctrine of mission command. In addition, they all recognize the specificity of the war-fighting profession by differentiating commanders from other military leaders.

The comparison of these findings with the conclusions of the previous chapter reveals a close relationship between the leadership requirements in civilian organizations and in military ones. However, two main deviations exist: (1) specific values preferably embedded in a professional ethos distinguish the leadership requirements of the profession of arms from the ones in civilian organizations, and (2) consequences of ordered use of force generate leadership requirements within the war-fighting profession that rely more heavily on inspirational and idealized leadership abilities than elsewhere in the military organization. In addition, leadership requirements on all levels of both military and civilian organizations are influenced by specific situational characteristics. This finding can be schematized as in figure 4.

Based on these findings, a number of requirements of a generic military organizational leadership doctrine can be identified: (1) it must incorporate and balance the need for military professional effectiveness and organizational efficiency, (2) it must reflect a common identity of all military personnel while at the same time allow enough diversity to permit the divergences caused by specific situational and operational variables, (3) it must recognize the differences in leadership skills required at the different complexity levels of the organization, (4) it must account for the converging leadership requirements of the different military specialists when they climb those complexity levels of the organization, (5) it must incorporate the individual, organizational and national values and be consistent with the organizational ethos,

Civilian Organization		Military Organization or Profession of Arms	
Organizational Values		Ethical, Individual, Organizational, National Values: Military Ethos	
		Pragmatic Profession	**War-fighting Profession** Killing and Dying

Civilian leadership	Military leadership	War-fighting leadership (Commandership)
⇧ ⇧ ⇧	⇧ ⇧ ⇧ ⇗ ⇗	⇧ ⇧
Situational Characteristics (Culture, identity, etc)	Situational Characteristics (Culture, identity, law etc)	Operational Environment Characteristics

Or:

Civilian leadership + Values/Military Ethos = Military leadership

Military leadership + psychology of Killing/Dying = War-fighting leadership

Situational Characteristics

Figure 4.   Relationship between Civilian and Military Leadership

(6) it must encompass the principles of change-oriented situational and transformational leadership, and (7) it must specify the additional emotional and psychological consequences of the killing and dying process in the war-fighting part of the organization.

A possible solution that meets these requirements can be found in combining the approaches of the Canadian Forces, Dutch Army and US Army.

As explained earlier in this chapter, the Canadian Forces have developed an ethos that units all members of the military profession by defining common values but recognizes at the same time the differences in expertise and identity of their members.

This ethos and the development of a common body of knowledge ensure the unity that is needed in a collective military profession.

The approach of the Dutch Army complements the Canadian ethos concept with the idea of interlinking a command doctrine for the war-fighting specialists with a military leadership doctrine for all other leaders in the organization. This approach provides unity, clarity, and transparency while simultaneously recognizing the specificity of the ordered use of force.

In addition, since leadership requirements converge when going up the three complexity levels of the organization, command and leadership doctrine should be virtually identical at the highest levels. On the tactical level of the command doctrine, differences in psychological implications derived from the operational context can be accounted for by developing a doctrine for each service.

Finally, the US Army leadership doctrine provides a conveniently and clearly structured format. The result of combining principles of these different leadership concepts is visualized in figure 5.

These findings will serve as a basis for the development of a generic leadership doctrine for the BDF in the next chapter.

Profession of Arms

Strategic Leader

BE	KNOW	DO

Executive

Senior Leader

BE	KNOW	DO

Joint Operational

BE	KNOW	DO

Middle

Level in organization

Complexity

Junior Leader

BE	KNOW	DO

Service Tactical Commander

BE	KNOW	DO

Supervisory

Pragmatic

War-fighting

Potential of Killing/Dying

Contingency Leadership Theory

Emotional Intelligence

Transformational Leadership Theory

Mix

Transactional Leadership Theory

Figure 5.   Holistic Situational Military Leadership Framework

CHAPTER 4

LEADERSHIP IN THE BELGIAN DEFENSE FORCE

The map is not the territory.

Alfred Korzbyski

Introduction

In the first chapter, it was stated that objective understanding of leadership is often confounded with one's individual value position and perceptual biases that represent different historical and cultural ideas about what actually constitutes acceptable or effective leadership. In an attempt to decrease such confusion, the previous chapter compared leadership requirements of both civilian and military organizations which resulted in the creation of a holistic situational military leadership framework (see figure 5). In this chapter, the situational characteristics of the BDF will be examined. Based on these specifics, on the previous Belgian initiatives in the field and on the findings in the previous two chapters, this chapter will provide cornerstones for a leadership doctrine adapted to the current challenges of the BDF.

The development of such a BDF leadership doctrine necessitates the establishment of: (1) a descriptive framework and (2) a definition for effective contemporary BDF leadership.

This will be done in two steps. First, it is imperative to understand the process side of BDF leadership how situational and other variables condition BDF leaders' behavior, how their influence is used to optimum effect, and how their influence ultimately connects to organizational outcomes. Second, the core content of BDF

leadership must be determined, that is, what competencies BDF leaders should possess to perform effectively.

As explained in the methodology in the first chapter, the aim of this research paper is limited to the development of a process model and only a roadmap for the construction of a normative-content model of leadership will be developed.

Taken together, the normative-process model and (recommendations for) the normative-content model form a framework for operationalizing effective leadership in the BDF. However, it must be made clear upfront that such a framework is only a simplified reproduction of the complex challenges a leader faces. Therefore, it is just a conceptual map, not the territory.

<u>Characteristics of the BDF</u>

As many other Western military organizations, the BDF is adapting to the rapid changes of the geopolitical situation. To that end, it strives towards increased international cooperation in the field of security and defense. The BDF participates therefore actively in the development of a European defense capability within the framework of the EU-NATO strategic partnership. At the same time, the BDF is an integral part of a continuously changing society. Therefore, it must permanently show flexibility and adapt its organization, ambition level, and leadership.

<u>Organization</u>

In the last decade, the suspension of the compulsory military service and repeated budgetary cuts have entailed successive organizational restructuring initiatives within the BDF. The current organization of the 35,000 military strong BDF is depicted in figure 6.
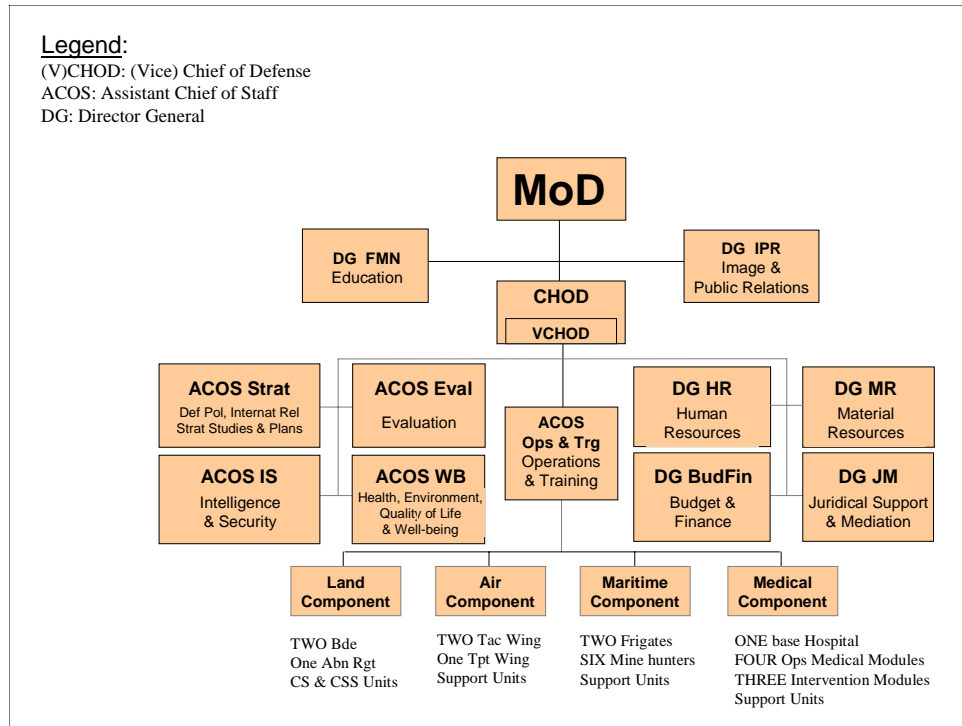
Figure 6.   Current BDF Organization

In order to fully understand this organization, three important aspects must be clarified.

First, Land, Air, Maritime and Medical components are not full services, but non-deployable (division-level) command and control staffs, responsible for the operational readiness of their units. The four components are directed by a non-deployable joint staff, called ACOS Operations and Training (Corps-level). Personnel of both the division and corps level staffs are likely to be used as reinforcements for deploying units or international staffs during operations. This part of the organization conducts the "Core" business of the BDF: the ordered use of force during military operations. In consequence, all leaders working in "Core" of the organization are military and members of the war-fighting profession as defined in the previous chapter.

Second, the organizational structure outside the "Core" forms the "Corporate" element. Its main purpose is enabling and supporting the Core element. This relationship is visualized in figure 7.
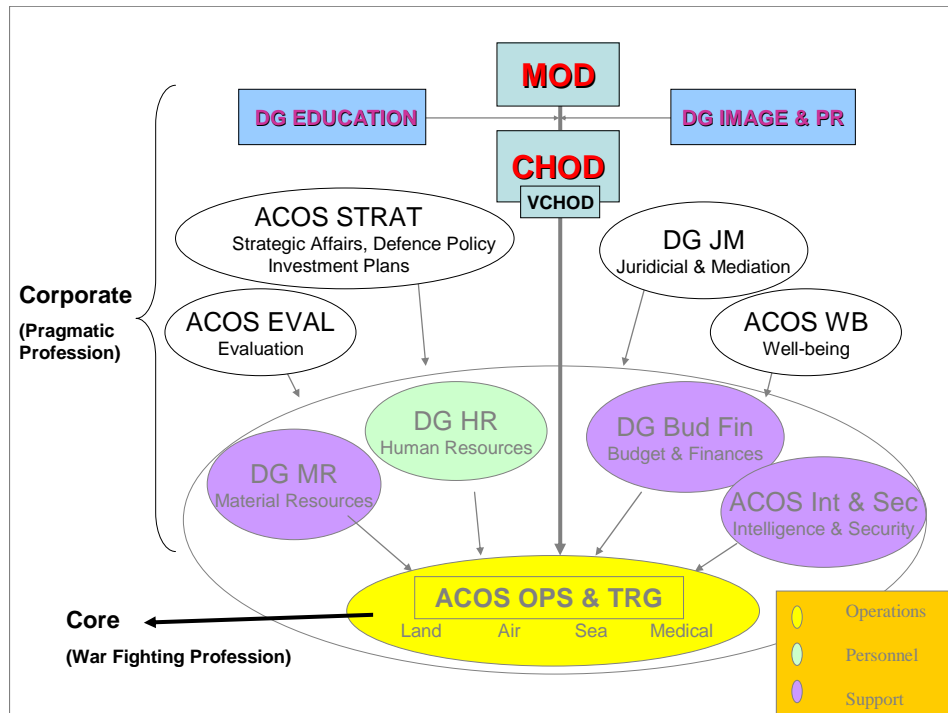
Figure 7.   Supportive Relationship between BDF Departments

Leaders in this part of the organization can be both military and civilian and are primarily members of the pragmatic profession.

Third, the major part of the organization is bi-lingual (Dutch and French). However, most operational units and staffs up to brigade level are uni-lingual to facilitate the command and control processes.

Operational Ambition Level

In addition to its organization, the BDF has revised its operational ambition level

forced by the limitations of its budgetary framework and current geopolitical

developments, such as the European Security and Defense Policy, the transformation

process within NATO and the emergence of new forms of threat.

In a recent governmental document, the current operational ambition level of the

BDF is defined as follows: the BDF must be ready:

> 1. To intervene, in an international framework, with all capabilities to
> prevent, contain, control or stabilize a conflict (lower part of the conflict
> spectrum, for instance peacekeeping operations);

> 2. To contribute, in an international framework, with well-determined
> capabilities and in a well-defined operational niche, in order to destabilize,
> annihilate or defeat the enemy (upper part of the conflict spectrum, for instance
> the Gulf War). (BDF Steering Plan, 2003).

This strategic choice has a number of consequences:

First, future BDF operations are most likely to be multi-national as part of a

coalition or alliance. Second, these operations are most likely of an expeditionary nature

and require a rapid response. Third, units and individuals need to be multi-skilled and

multi-roled to be able to execute all possible missions. Fourth, close political scrutiny

will influence military management and decision making.

Partial Conclusion

Despite its relatively small size, the BDF maintains a full scope of functional

departments. As a direct consequence, the members of the BDF have a large variety of

specializations. However, all members of the war-fighting profession are clearly defined

and are concentrated in the "Core" units of the organization which are only deployable up to brigade level.

Furthermore, although the BDF's operational focus is on conducting operations in the lower part of the spectrum, its core elements must still be able to participate in high intensity operations. In addition, it is worth observing that BDF staff officers and commanders on the strategic, operational and higher tactical (division and upwards) levels, only participate in the (low and high intensity) war-fighting process when they are integrated in a coalition or allied staff structure. In consequence, all military leaders at those war-fighting levels must be able to function in a multinational environment. In addition, they must be able to use procedures and work with operational capabilities that are not necessarily present in the BDF.

Leadership Initiatives in the BDF

At present, no official approved leadership philosophy, doctrine, or concept exists in the BDF. However, a number of initiatives in the realm of leadership have been undertaken by various elements within the organization:

1. In 2003, the new values of the recently reorganized BDF were determined and published in a departmental document. These values are: the democratic values; the link BDF-nation; the international image of the nation; open, fast and effective communication inside and outside the organization; dedication; competency; courage; availability; honesty; civic spirit; loyalty; cooperation; responsibility; flexibility; creativity; polyvalence and quality orientation (BDF Steering Plan, 2003)

2. Leadership training programs, based on the model of Quinn and the model of Hersey and Blanchard, have been initiated in the different military schools and training centre without the existence of an approved overarching leadership doctrine

3. A new draft of the manual G144 (equivalent of US Army equivalent FM6-0 Mission Command) has recently been submitted for approval. This document was created independently from the other initiatives and is heavily based on the Dutch concept of command leadership which highlights the commander's additional authority and responsibility

4. An unpublished draft of a leadership doctrine written in 2002 has thus far been unsuccessfully submitted for approval. This document relies heavily on the US Army's FM 22-100 and the situational leadership model of Hersey and Blanchard.

5. The Department of Evaluation has officially introduced the EFQM Excellence Model as an instrument for organizational self-evaluation.

<div align="center">Recognized Models in the BDF</div>

As mentioned above, although no official doctrine has been approved yet, a number of models have been recognized as being useful for the development of a leadership doctrine for the BDF. The model of Hersey and Blanchard and FM 22-100 are already mentioned in chapters 2 and 3, respectively. Therefore, only the model of Quinn and the EFQM Excellence Model will be examined here more closely.

<u>Quinn: Competing Values Model</u>

Quinn's Competing Values Model (CVM) argues that conflicting values, and therefore opposing behavioral requirements, are inherent in the nature of organizational senior leadership. Therefore, effective leaders will enact more of the roles in the CVM

than ineffective leaders. In addition, effective leaders will balance these roles in such a way that one role is not emphasized disproportionately. The CVM is explained in more detail in appendix U.

The CVM's concept of behavioral flexibility is consistent with the requirements of the complex contemporary operating environment: a leader assesses the situation in terms of the CVM and then determines which appropriate role(s) to adopt. Therefore, the BDF considers the CVM as being applicable in all military situations and especially during crisis response operations.

Furthermore, Quinn suggests that the upper quadrants of the CVM describe transformational leadership roles as the leader is portrayed as a motivator, attending to commitment, emphasizing company values, and challenging people with new goals. In addition, he indicates that the lower quadrants of the framework describe transactional leadership roles as the leader is portrayed as a task master attending to performance and focusing on results, and as an analyzer concentrating on the efficiency of operations (Quinn 1996).

The added value of Quinn's Competing Values Model (CVM) is twofold:

First, CVM clearly points out what the four major priorities for organizational leadership are: (1) accomplish the mission(s), (2) build and maintain people's commitment and well-being in the organization, (3) ensure internal order and integration, and (4) adapt to external change.

Second, leadership is consolidated in terms of roles and competencies. In addition, the generic requirement of leadership flexibility is concretized as the ability to balance the eight distinct roles and their respective skills. Furthermore, the CVM links

each skill with a number of techniques. This allows for an easy incorporation into an education and training program.

However, two important shortcomings of the model must be considered.

First, the CVS does not explicitly specify differences in role requirements between leaders situated on different levels in the organization. Quinn developed the CVS initially as a model of executive leadership but added that managers at different organizational levels have varying needs to accomplish all of the eight roles in order to be effective (1988). In his study on executive leadership, Zaccaro concludes that a certain degree of behavioral flexibility is required on all organizational levels but that senior leaders have a wider array of competing roles to enact (1996).

Second, Quinn derived his model theoretically and clearly states that it is a hypothetical rather than an empirical statement about the perceptual understructure of leadership (1984). However, a number of empirical studies have confirmed the importance of behavioral flexibility on leadership effectiveness. On the other hand, the same studies showed only strong support for the quadrant structure of the framework but not for the individual roles within those quadrants. Therefore, Quinn suggests that the eight leadership roles might be combined to reflect four primary or essential leadership roles, with each role corresponding to a quadrant in the CVF (1993).

Hence, only four distinct leadership roles will be further used in this research paper: (1) Leader of People (Motivator + Mentor), (2) Leader of Change (Innovator + Negotiator), (3) Manager of Tasks (Producer + Director), and (4) Manager of Stability (Coordinator + Controller).

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The EFQM Excellence Model is a continuous improvement tool designed to help organizations recognize current strengths and weaknesses in the way they manage and conduct their activity, identifying areas in need of improvement. In addition, it is a best practice tool by providing a framework and practical guidelines for effectively managing an organization. Because of its holistic approach, the model can be used in all kinds of organizations and can be adapted if needed to fit the specifics of a particular organization or part(s) of that organization (EFQM 1999).

The underlying philosophy of the model (see figure 8) as assessment tool is based on the view that organizations can achieve excellence through continuous improvement by focusing on the relative performance in the models 5 "enabling" criteria and 4 "result" criteria. These "enablers" offer a set of generic strategic priorities for achieving excellent results. The result criteria reflect the outcome of these enablers and at the same time effectively define the purpose of the organization. The model has the added advantage of providing a set of key measures, which can be used to assess improvement.
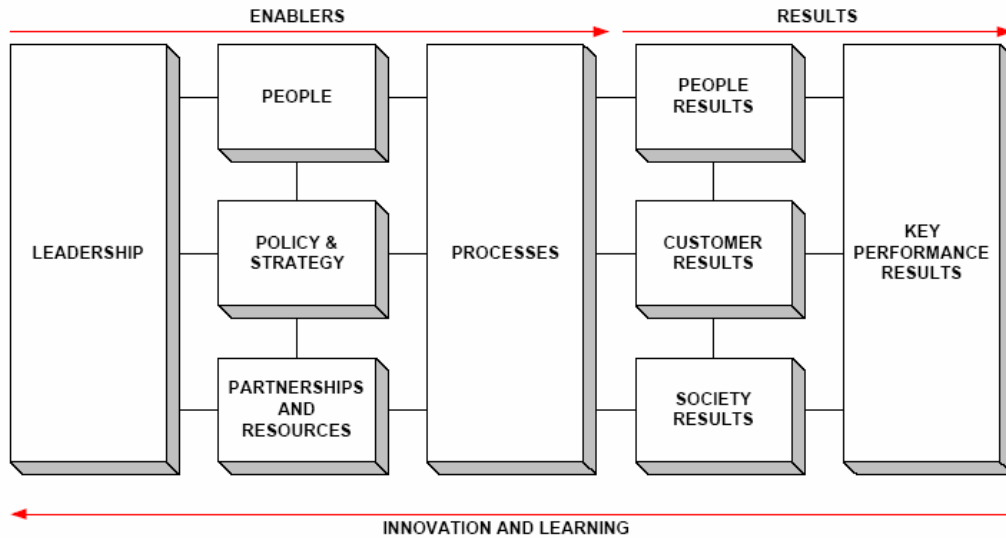
Figure 8.   EFQM Excellence Model
Source: Translated from European Foundation for Quality Management. *Excellent: Handleiding voor de toepassing van het EFQM Excellence Model.* (Comatech, Blanden, Belgium, 1999).

The model is best read from the right end working backwards:

1. What is the organization's purpose in terms of meeting the needs of its customers (in the case of the BDF, the government takes simultaneous the role of customer and budget supplier), achieving its performance results, maintaining the motivation of its people, and having a beneficial impact on society?

2. Once the organization is clear about its purpose, it becomes much easier to answer the next questions: How to achieve this purpose? What methods to use?

3. The central box of the EFQM Excellence Model relates to the management of processes: How does the work that delivers the measured results actually gets done? Which activities constitute the "key" processes and what other activities support these?

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4. The model demands that key processes are defined, that there is a way of setting priority for which processes should be improved, and that there is a method to achieve improvement (a process for process improvement).

5. The EFQM Excellence Model also recognizes the major "support" processes which exist to ensure that the key processes operate smoothly. These include the provision of people at the right time and with the right skills, the provision of other resources (money, equipment, buildings), and the development of effective relationships with all external stakeholders.

6. The whole is summed up in the strategy and policy of the organization.

7. The model emphasizes the critical importance of appropriate leadership that drives the entire process.

8. Finally, the model stresses the close connection and inseparability of each of the model's nine criteria.

Furthermore, the EFQM Excellence Model provides a definition for each of its nine criteria. In turn, each definition is supported by a number of subcriteria. At the same time, those subcriteria correspond to a number of questions that should be considered in the course of an assessment. Finally, each subcriterion is composed of a number of guidance points. These points are not mandatory, nor are they exhaustive lists. They are intended to further explain the meaning of the subcriteria.

The model is explained in more detail in appendix V. In what follows, only the model's leadership criterion will be examined more closely.

Leadership in the EFQM Excellence Model

The EFQM Excellence Model manual describes effective organizational leadership as "visionary and inspirational, coupled with constancy of purpose." It further describes how leadership is put into practice:

> Excellent organizations have leaders who set and communicate a clear direction for their organization. In doing so, they unite and motivate other leaders to inspire their people. They establish values, ethics, culture and a governance structure for the organization that provides a unique identity and attractiveness to stakeholders. Leaders at all levels within these organizations constantly drive and inspire others towards excellence and in so doing display both role model behavior and performance. They lead by example, recognizing their stakeholders and working with them on joint improvement activity. During times of turbulence they display a constancy of purpose and steadiness that inspires the confidence and commitment of their stakeholders. At the same time they demonstrate the capability to adapt and realign the direction of their organization in the light of a fast moving and constantly changing external environment, and in so doing carry their people with them. (EFQM 1999)

In addition, the model's manual outlines the individual leader in three fundamental rules:

1. A leader contributes to a group of people through his personality (BE) and knowledge (KNOW), and performs three basic tasks (DO) which he must translate to the environment in which he operates. These three basic tasks are: (1) achieve objectives, (2) develop individuals, and (3) build cohesive teams.

2. A leader creates an appropriate environment and freedom of movement in which subordinates can perform optimally.

3. A leader focuses his actions on his people, their tasks, and his organization's results.

Therefore, the EFQM Excellence Model defines the leadership criterion and subcriteria as:

How leaders develop and facilitate the achievement of the mission and vision, develop values required for long term success and implement these via appropriate actions and behaviors, and are personally involved in ensuring that the organization's management system is developed and implemented.

a. Leaders develop the mission, vision and values and are role models of a culture of Excellence

b. Leaders are personally involved in ensuring the organization's management system is developed, implemented and continuously improved

c. Leaders are involved with customers, partners and representatives of society

d. Leaders motivate, support and recognize the organization's people

e. Leaders identify and champion organizational change. (EFQM 1999)

Advantages of the EFQM Excellence Model

The BDF has adopted the EFQM Excellence Model for several reasons. First, the model explicitly addresses the performance of an organization in meeting the needs of all its stakeholders. Second, the model clearly covers the area of public responsibility and corporate citizenship. Third, using the EFQM Excellence Model provides at the same time a catalyst for change. Fourth, it emphasizes the importance of managing the budget supplier relationship (in this case the relationship with the government). Fifth, it provides a valuable tool for self-assessment, which in turn paves the way for an integrated management system and total quality.

<div align="center">Partial Conclusion</div>

Based on the findings above, it is clear that Quinn's CVM and the EFQM Excellence Model are not merely compatible but also complement each other:

1. The CVM's four quadrants and corresponding leadership roles are imbedded in the EFQM model's criteria and fundamental concepts as shown in table 4:

Table 4.	Linkage between CVM and EFQM Excellence Model
CVM	EFQM
People	People + Leadership + People Development and Involvement
Task	Policy and Strategy + Processes + Leadership
Change	External focus + Leadership + Innovation and Learning
Stability	Processes (Internal focus) + Leadership

2. Leader's focus on efficiency can be found in the CVM's Stability quadrant and in the EFQM's RADAR-logic (Plan Approach).

3. Leader's focus on effectiveness can be found in the CVM's Change quadrant and in the EFQM's RADAR-logic (Deploy Approach).

4. The CVM provides roles and primary skills of the individual leader, while EFQM offers a framework for applying them to manage and improve the organization.

5. Both models are widely applicable in a variety of organizations and environments.

6. The EFQM's three fundamental rules for describing an individual leader are integrated as skills in the CVM.

Furthermore, Hersey and Blanchard's situational leadership model can be nested in the people's quadrant of the CVM. The US Army's FM 100-22 doctrine is consistent with both the EFQM Excellence model and the CVM. First, the FM's BE, KNOW, DO taxonomy is used in the EFQM Excellence model. Second, the leader's actions described in the FM can be catalogued in the CVM's four quadrants:

1. Influencing: People quadrant.

2. Operating: Task and Stability quadrant.

3. Improving: Change quadrant.

These findings show that the four models can be linked to each other quite easily. However, combining all four does not compensate entirely for the shortfalls that are inherent in each model.

First, the CVM's weak recognition of the variances in leadership skills for leaders on the different organizational levels must be corrected in the final BDF leadership model.

Second, Hersey and Blanchard's situational model focuses on the development of followers and is therefore limited to four leadership styles. Besides the follower's broadly defined readiness level (willingness and ability) for a particular task, the model does not include other variables.

Third, the FM 100-22 is written for US Army members primarily of the war-fighting profession. Therefore, an operational and cultural transposition is needed to fit the characteristics of the entire BDF. In addition, the manual is being adapted to the new external conditions which indicate a number of contemporary weaknesses of the 1999 version.

Fourth, the EFQM Excellence model is based on a generic design to allow a broad application and benchmarking between very different organizations. However, this generic approach limits the model's use as a strategic communication and management tool in complex organizations. Therefore, the EFQM's manual proposes the use of tools such as the Balanced Scorecard (BSC) for policy deployment. In consequence, the complex BDF must use both tools in combination on the organizational level: the EFQM model as a diagnostic tool (do things right) and the BSC as a strategic management tool (do the right things). In addition, the use of models that are more tailored to the

contemporary military context such as, for instance, Villeneuve's model for unit

effectiveness and readiness (reviewed in chapter 3 and represented in appendix S), allow

for the inclusion of the specificity of the war-fighting organizations.

<div align="center">Development of a BDF Leadership Doctrine</div>

<div align="center">Introduction</div>

Based on all the previous findings, this section will first build a normative-process

leadership model that fits the characteristics of the BDF. Next, recommendations for

determining and organizing the required leadership competencies will be formulated.

Then, based on the integration of these findings in a generic BDF leadership model, a

leadership definition will be developed. Finally, a partial conclusion will be drawn.

<div align="center">BDF Leadership Process Model</div>

Combining the different research results that were found so far in this paper, a

generic BDF leadership process model can be constructed. This model is represented in

appendix W.

The proposed BDF process model builds upon Yukl's integrating conceptual

framework for several reasons:

1. It is widely applicable regardless the kind of organization or the organizational

leadership level.

2. It integrates the key leadership variables and combines or allows for the

integration of less comprehensive models.

3. It recognizes the fact that the leader builds upon traits (BE) and skills (KNOW)

to perform actions (DO) to get the desired results.

4. It visualizes clearly the different influence processes that affect each of the key variables.

5. It allows for the integration of qualitative differences between management levels by making the distinction between direct and indirect influence actions.

However, a number of additions were made in order to fit this paper's research results better:

1. The theory of leadership substitutes is integrated and visualized where its effects are most likely to occur.

2. The EFQM's RADAR logic is integrated as a leadership action to allow for learning and improvement.

3. Yukl's success criteria (results) are extended to make the distinction between the output of the leadership process and the final organizational or unit outcome. In addition, the distinction between primary and secondary goal outcome is integrated. Primary goal outcome is based on Quinn's 4 main dimensions (quadrants). Secondary goal outcome is the result of how the stakeholders (boss, other organizations, government, population …) perceive the effectiveness and legitimacy of the organization's or unit's performance (or primary goal outcome).

4. Additional effects of secondary outcome on the situational and intervening variables are visualized. For instance, changes in support influence resource availability (situational variable). Likewise, a better reputation can heavily influence follower effort and commitment (intervening variable).

5. The important and omni-present influence of values and culture is emphasized by situating the whole process within those boundaries. In addition, national,

international values and culture are placed outside the boundaries because, although the leader is influenced by them, they are beyond his influence. In this way, values-based BDF leadership is embedded in the process.

<u>BDF Leadership Behavior</u>

Behavioral Complexity

Quinn's CVM already emphasizes the importance of behavioral flexibility to leadership effectiveness in a complex environment. Building further on this principle, Hooijberg, Bullis, and Hunt developed a behavioral complexity theory that suggests an interesting moderation of the importance of prescriptive leadership rules. They posit that "behavioral complexity refers to the portfolio of leadership roles managers can perform and the ability of managers to vary the performance of these leadership roles depending on the situation" (Hooijberg et al. 1999). While being careful to distance themselves from an extreme form of situationalism, Hooijberg et al. claim that the more expansive the leader's role repertoire is and the more able he is to vary performance, the more effective he will generally be. Because of the behavioral complexity theory's focus on the leader's capacity to select the most appropriate behavioral responses, they consider it to be a complement and extension of the traditional leadership theories.

Consequently, in order to insure maximal effectiveness in an ambiguous environment, the BDF leadership model must incorporate a comprehensive repertoire of leadership roles appropriate for the BDF environment.

Role Repertoire

The CVM is a convenient starting point to build such a repertoire. However, since this model is derived purely rationally, it should be confronted or complemented with other taxonomies. Therefore, the following three classifications are chosen (see table 5):

1. The EFQM Excellence model since it is considered to be a cornerstone of the BDF leadership doctrine and its concepts, criteria, subcriteria and guidance points provide an extensive list of roles that apply to various situations (for reasons of clarity, only the concepts and criteria are represented in table 5).

2. Yukl's list of military practices since it relates directly to specificities of the military organization.

3. Yukl's most recent list of managerial behaviors since it provides a detailed classification that extends the classical task-oriented and relations-oriented behavior taxonomy with the contemporary importance of change-oriented behavior.

Table 5. Building Stones of BDF Leadership Repertoire			
Roles/Dimensions **(Quinn, 1988)**	**Criteria/Concept** **(EFQM, 1999)**	**Military Practices** **(YukI, 1999)**	**Behaviors** **(YukI, 2002)**
Rational Goal Manager of tasks	Processes (Internal focus) Policy and Strategy Leadership	Deals with problems decisively Plans and organizes Inspires commitment	**Task Oriented** Solves Problems Conducts operational planning Directs/coordinates activity Assigns work to people
Internal Process Manager of stability	Processes Leadership	Communicates clear objectives Procures and allocates resources Monitors	Clarifies objectives Explains rules, policies, SOPs Organizes work Monitors indicators Emphasizes standards
Human Relations Leader of People	People Leadership People Development People Involvement	Develops teamwork and unit identity Keeps people informed Concern for subordinate needs Develops subordinate skills Conducts intensive training Empowers subordinates Recognizes and rewards	**Relations Oriented** Builds team identity Keeps people informed Leads by example Resolves conflicts Consults when affected Provides support Socializes Provides coaching/mentoring Expresses confidence Recognizes achievements Celebrates progress
External Adaptability Leader of change	Innovation and learning Leadership External focus	Develops contacts	**Change Oriented** Builds coalitions Gets ideas for improvement Envisages new possibilities Encourages new perspectives Supports innovation Experiments Explains need for change Facilitates learning

Next, the different resultant roles must be integrated if possible and organized in a pragmatic framework (see table 6).

According to the EFQM's RADAR logic, the first step of leadership behavior is to envision results. Therefore, the integrative core BDF leader roles should be organized on the CVM's four major outcome dimensions. Furthermore, this framework should allow for the difference in direct and indirect leadership roles. The following table maps the result of combining the previous taxonomy table with those additional requirements. Hence, the table represents the generic role repertoire of leadership in the BDF. However,

the execution of these roles must be consistent with the international, national and

organizational conduct values adopted in the BDF.

Table 6. BDF Leadership Role Repertoire		
Outcome Dimension	**Direct Influence Approach (intervening variables/people)**	**Indirect Influence Approach (situational variables)**
Mission Accomplishment	Achieve competence and pursue self-improvement. Solve problems, make decisions. Clarify objectives and intent. Plan and organize, assign tasks. Direct, motivate by example, share risks/hardships. Train individuals and teams under demanding and realistic conditions. Build teamwork and cohesion.	Establish mission, vision, policy, strategy. Create necessary operational capabilities (force structure, equipment, command and control). Exercise professional judgment with regard to military advice and use of force. Reconcile competing obligations, set priorities, secure, manage and allocate resources. Develop the leadership. Support intellectual stimulation and develop advanced doctrine. Conduct self-assessment. Establish and maintain culture of Excellence.
Member Commitment and Well-being	Mentor, educate, develop, empower. Establish climate of respect for individual rights and diversity. Treat fairly, respond to complaints, represent interests. Resolve interpersonal conflicts. Consult subordinates on matters that affect them. Monitor morale and ensure subordinate well-being. Recognize and reward.	Accommodate personal needs in development/career system. Establish values and ethical culture. Enable individual and collective mechanisms of communication. Ensure fair complaint resolution. Honor social contract, maintain family and member-support systems. Establish recognition/reward systems. Establish and maintain an efficient and adaptive HRM.
Internal Order	Structure and co-ordinate, establish standards and routines, stabilize. Socialize new members into military values/conduct system, history, and traditions. Keep superiors informed of activities and developments. Keep subordinates informed, explain events and decisions. Reinforce military ethos; maintain order and discipline, establish professional group norms. Understand and follow policies and procedures. Monitor, inspect, correct, evaluate.	Manage meaning, use media and symbolism to maintain cohesion and morale. Develop and maintain professional identity, align culture with ethos, preserve heritage. Develop and maintain military discipline system and policies. Develop and maintain effective information, measurement and management systems. Develop and maintain audit and evaluation systems. Develop and maintain efficient resource Mgt. Develop and maintain process management. Develop and maintain cross- functional management.
External Adaptability	Maintain situational awareness, keep current, seek information. Establish and mediate contacts. Anticipate the future. Support innovation, experiment. Learn from experience.	Master civil-military relations. Gather and analyze intelligence, define threats and challenges. Develop external networks and collaborative relationships. Identify, initiate and lead change. Foster organizational learning. Conduct external reporting.

Situational Characteristics

As stated earlier, situational characteristics and especially their emotional

implications, influence greatly the leader's behavior. Therefore, in order to choose an

appropriate influence tactic, the leader must consider the relevant situational

characteristics. Chapter 3 (generic military organizations) and the first part of chapter 4

(BDF) covered this subject. Therefore, only a short overview of these situational

characteristics is represented below:

1. External dependency: cooperation with national and multinational

governmental agencies, membership of alliances and coalitions, overarching joint staff.

2. Nature of work: proximity to killing and dying process (war-fighting

profession), degree of specialization (pragmatic profession).

3. Management level: differences in cognitive complexity level (supervisory,

middle, and executive management).

4. Organization or unit size: dyadic, group, unit or organization level leadership

process.

5. Degree of uncertainty: operating in peacetime, time of important change,

wartime.

6. Organization or unit maturity: stage in organizational life, EFQM's

organizational maturity stages (start up, on the way, or mature).

Figure 5 recapitulates and visualizes the compartmentalization effects of these

situational characteristics.

Task Influence Tactics/Styles

Besides mastering a broad role repertoire and estimating the impact of the situational characteristics, possessing a broad repertoire in influence tactics enhances a leader's effectiveness in his role as a manager of tasks. Unfortunately, most leadership theories (for example situational theories, transformational and transactional leadership theories) deal exclusively with downward influence and ignore the lateral and upward influence. However, this latter kind of influence is a key feature in distinguishing leadership from the more limited formal authority. Therefore, BDF leadership doctrine must incorporate influence tactics in all directions.

In chapter 2, Kipnis' eight categories of omni-directional tactics were explained. In addition, appendix D provides a summary of the dominant use and utility of those tactics. Since the tactics of rational persuasion, inspirational appeals and consultation/participation are used most frequently, they will be developed here in more detail.

As stated in the two previous chapters, Bass's Full Range Leadership provides a comprehensive approach of leader behavior toward their followers. In addition, the transformational/transactional leadership theory is applicable in both war-fighting and non-war-fighting environments. Furthermore, Quinn pointed out that transformational/transactional styles can be integrated in the CVM. Moreover, Bass asserts that successful leaders combine transformational and transactional behavior with directive and participative styles. Therefore, a continuum of direct influence styles can be constructed that is based on the major situational leadership theories that were reviewed in chapter 2 (see figure 9). Based on his judgment, the leader chooses the most effective

direct influence style in a given situation in function of the task, the organizational

culture and other situational characteristics, the attributes of his influence target and his

own preferences.

| **1. Autocratic**
I'm the boss and
I'll tell you what
to do | **2. Benevolent**
Autocratic
I'm the boss and
I'll tell you what's
best to do for
everyone | **3. Consultative**
I'll decide, but I'll
talk it over with you
to get your input | **4. Participative**
We'll decide
together, but some
votes will count
more than others | **5. Consensus**
We'll make the
decisions
together as a
team with all
votes being equal | **6. Delegation**
Do as you see fit
because you are
qualified to make
decisions alone
(Empowered) | **7. Laissez-Faire**
Do whatever you
want, just leave me
alone |

Directive   Non-directive

Figure 9.   Direct Influence Style Continuum
Source: J.H. Eggers and Associates, Inc., San Francisco, [article on-line] on
www.jheggers.com/leadership.htm; accessed on 31 January 2005.

A number of tools can be developed to assist the leader in making this choice. An

example of such a tool is provided by J-H Eggers. They define the following factors that

affect the choice of leadership style:

1. Job programmability or nature of the task: if there is a systematic "best way" to

complete the task then an autocratic style is appropriate. On the other hand, if there is a

great deal of variation in individual procedures then a more participative style is

appropriate.

2. Job Autonomy or nature of the people: this category is a combination of

factors: level of skill, level of motivation, desire for independence, nature of the work.

Level of follower participation is a judgment call based on these factors.

Combining these two dimensions creates the following four quadrants represented

in figure 10:

```
High ↑
  J        Low People /High Task            High People /High Task
  o        Most effective style:            Most effective style:
  b        DIRECTIVE:                       INTERACTIVE:
           AUTOCRATIC                       CONSULTATIVE
  P        or                               or
  r        BENEVOLENT                       PARTICIPATIVE
  o        AUTOCRATIC
  g  ..............................................................
  r
  a        Low People /Low Task             High People/Low Task
  m        Most effective style:            Most effective style:
  m        INTERACTIVE:                     NON-DIRECTIVE:
  a        CONSULTATIVE                     CONSENSUS
  b        or                               or
  i        PARTICIPATIVE                    DELEGATED
  l                                         or
  i                                         LAISSEZ-FAIRE
  t
  y
Low ─────────────────────────────────────────────────────→
              Job Autonomy (People)                    High
```

Figure 10. Factors Affecting Choice of Leadership Style
Source: Adapted from J.H. Eggers and Associates, Inc., San Francisco, [article on-line] on www.jheggers.com/leadership.htm; accessed on 31 January 2005.

However, additional factors must be considered to choose the appropriate style. For instance:

1. Superiors' and/or peers' styles: because of the effect of social desirability in the work environment, style choices will be influenced by those of "significant others." If this occurs, a leader must be aware that he can use different style and still be effective.

2. Amount of available decision time: when a decision needs to be made quickly, such as in an emergency, followers accept that a decision is made quickly with an autocratic style they would not prefer in other circumstances.

3. When "buy in" or ownership is critical: for decisions that require employees to support the decision, more participation may be a better choice although not particularly attractive upfront.

4. Culture of the organization: organizations usually develop behavioral norms regarding the most appropriate leadership styles. In consequence, followers expect a leader to use a particular leadership style.

Compliance Approaches

When a leader has determined his roles, the situational influences and has chosen the appropriate style, he is still not sure to get the expected compliance (or commitment). Therefore, he must use one or several compliance approaches. These approaches are primarily derived from Leonard's Sources of Motivation Model as described in chapter 2 and are based upon:

1. Enjoyment: the leader tries to convince the target of the enjoyment he will experience along with compliance.

2. Coercion: the leader uses or implies threats, checks frequently.

3. Reward: the leader offers favors, benefits or future rewards for compliance.

4. Legitimate: the leader seeks to establish legitimacy of request by claiming the authority or the right to make it, or by verifying that it is consistent with organizational policies, rules or practices.

5. Reciprocity: the leader appeals based on feeling of debt (based on past favors) to the leader.

6. Expertise: the leader bases appeals on his expertise.

7. Loyalty or identification with leader: the leader appeals to feelings of loyalty and friendship toward the leader.

8. Appeal or challenge to traits: the leader appeals to the individual's traits such as team player, hard worker or risk taker to gain compliance.

9. Appeal to values: the leader appeals to the individual's values such as concern for colleagues, concern for environment

10. Appeal to competencies: the leader appeals based on affirmation of the individual's values skills, such as good leader or best negotiator

11. Appeal to goals (identification with goals): the leader attempts to show that the request is in the best interests of the group and its goals

In general, transactional leaders tend to use compliance approaches 1 to 5 in that they attempt to tap the intrinsic process and instrumental sources of motivation. On the other hand, transformational leaders use primarily compliance approaches 6 to 11 in that they attempt to address the self concept and goal identification sources of followers' motivation.

Change Influence Tactics

Various change influence tactics that are used to lead change play the same role as influence tactics used to lead people during the execution of a task. As mentioned in chapter 2, implementing change is also based on the use of situational appropriate leadership behavior. Therefore, behavioral complexity as described for task oriented behavior is also required for change-oriented behavior.

Chapter 2 already explained Kotter's taxonomy for this latter type of leader behavior. Therefore, only the structure of this taxonomy will be portrayed below:

1. Empirical-rational approach

Based on expert and information power, the purpose is to convince others of the necessity of change by using the following (time-consuming) principal tactics: (1)

performance and feedback, (2) survey, (3) demonstration projects, and (4) organizational

learning.

2. Emotional (or normative re-educative) approach

Based on referent and connection power, the approach is especially useful in

building commitment, facilitating adjustment to change and overcoming resistance.

However, it is more time and resource consuming than the rational approach. The

principal tactics are: (1) inspirational leadership (generic brand of transformational

leadership but not concerned with moral elevation), (2) participation, and (3) brokerage

tactics.

3. Force-coercive approach

Based on legitimate, ecological, reward and punishment power, this approach

provides quick, inexpensive and effective results in the short term. However, it also can

create resentment and may result in counter-effective activities later on. The principal

tactics are: (1) directed change (unilateral action, use of authority) and (2) contingent

reward and punishment.

<div align="center">Roadmap for BDF Leadership Competencies</div>

Accepting the proposed BDF process-model provides a possible basis for

identifying the key competencies a leader needs to be effective. However, the research of

this paper on the subject will be necessarily limited since the BDF recently started the

process of developing a concept of competence management. The purpose of this concept

is to align the individual's leadership competence profile with the position-related

competence profile (BDF/DGHR, 2003). At the time this research paper was written, the

concept was still in the development phase and no preliminary results could be obtained.

However, a generic roadmap for determining leadership competencies will be constructed based on the proposed BDF leadership process-model.

As already indicated in chapter 3, military leadership overlaps to some degree with civilian leadership, especially with leadership in other public services. However, unique military roles and their underlying competencies are more likely to be critical to military effectiveness. This is especially true for the members of the war-fighting profession. Therefore, it is important that the identification of competencies of military leaders is done throughout the entire military environment.

The analysis in chapter 3 provided the insight that the significance and dimension of organizational effectiveness vary in accordance with the nature of the organization or unit and the emotional implications of its operating environment. Therefore, an overarching leadership doctrine can retain only a few traits and skills that are consistently and commonly related to leadership effectiveness. These common competencies must then further be complemented with key competencies that are identified based upon the specific performance requirements and operational context of the organization or unit in which they will be used. Such an approach should result in a leadership competency model that is both appropriately integrated and differentiated.

However, a paradox in the use of competency models must be mentioned. Indeed, the more a list of specific competencies is defined and prescribed, the more divergence is created from the agile, adaptive, and self-aware leader that is needed in the rapidly changing contemporary environment. Therefore, the use of broadly defined categories of competencies or meta-competencies may be an appropriate solution because it provides initial direction for leadership development programs and allows at the same time for

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critical leadership creativity and adaptation. In addition, this approach can provide the

BDF with as much variation in skills and attributes as tolerable. As a result, the

organization possesses an inventory of competencies that are distributed among its

members and can be used at any critical point in time.

Before starting to build such a competency inventory, the different elements that

make up a competency must be understood. Figure 11 provides a framework for

understanding the interrelating building blocks of competencies.

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Figure 11. The Building Blocks of Competencies
Source: R. L. Hughes, R. L. Ginnett, and G. J. Curphy, *Leadership: Enhancing the Lessons of Experience (*New York: McGraw-Hill, 1993): 185.

Each building block can be briefly defined as:

1. Intelligence (cognitive): Most recent theory for understanding intelligence

divides it into three interrelated components: analytic intelligence (problem

solving), practical intelligence (transforming knowledge into action), and creative

intelligence (developing and innovating useful processes).

2. Personality, traits and preferences: Relatively enduring psychological/emotional dispositions and physical characteristics. The trait theories as described in chapter 2 are the most thoroughly researched in this domain.

3. Values, interests and motives: Influencers of the direction, level and persistence of effort.

4. Knowledge: Information related to a specific domain of human interest or activity.

5. Experience: Represents the habitual behavior patterns, learned knowledge and skills acquired for effective dealing with task-related problems.

As the proposed BDF process-model indicates, behavioral complexity is considered to be imperative for leadership effectiveness. In turn, behavioral complexity relies on three broadly defined competencies that should be integrated in the BDF competency inventory.

The first competency is systems thinking and can be defined as (1) the discipline for seeing the structures that underlie complex situations, (2) discerning high from low leverage change, and (3) a framework for seeing internal relationships rather than things, and for seeing patterns of change rather than static snapshots (Hooijberg 1999). The other constituent competencies of behavioral complexity Hooijberg defines are: self-efficacy (beliefs about one's ability to effectively perform the leadership roles expected of one) and self-monitoring (the ability to estimate the effects of one's behavior on others and to make appropriate adjustments to increase the acceptability of the messages being sent).

In addition, a leader can only master behavioral complexity if he is highly competent in reading and understanding the needs of his followers. In other words, other

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abilities of primary importance for leader effectiveness are social perceptiveness and

diagnostic skills. The need for these two abilities can also be found in the major

situational leadership theories.

As mentioned in chapter 2, the concepts of social perceptiveness and self-

monitoring are integrated in the emotional intelligence (EI) theories. Especially

Goleman's theory on EI supports the necessity of emotional control and empathy in

leaders, but it also underscores the importance of flexible behavior in the sense of making

situational appropriate adjustments in attentiveness, language, tone, and expressive

behavior.

In summary, leadership in the contemporary BDF must emphasize relationship-

building more than narrow role-defining, flexibility more than standardization, learning

more than knowing, self-management more than command and control, and creative

thinking more than planning based on doctrine. In consequence, the BDF needs leaders

who are adept at learning very quickly, skilled at recognizing patterns and creatively

converting abstract knowledge into appropriate action for a given situation. In addition,

BDF leaders must master values and be attuned to issues of climate and culture. Finally,

they must be proficient in communicating effectively to a wide range of audiences.

BDF Leadership Explained

Figure 12 summarizes and integrates the generic steps and sequence of events that

make up the proposed BDF leadership framework.

Traits
- Energy-level
- Stress tolerance
- Self-confidence
- Integrity
And/or
- Big 5 Personality

BE

Competencies

Leader traits & skills

Skills
- Systems thinking
- Self-efficacy
- Self-monitoring
- Diagnostic
- Emotional Intelligence

KNOW

Behavioral Complexity

Behavior
1. Envision **R**esults
2. Plan **A**pproach

1&2. Competing Dimensions/Roles
- Leader of People
- Manager of Tasks
- Leader of Change
- Manager of Stability

2. Task Influence Tactics
  a. Followers
- Transactional/Transformational
- Directive to Non-directive
- Compliance approaches
  b. Peers & Bosses

2. Change Influence Tactics
- Empirical – rational
- Emotional
- Force - coercive

4. **A**ssess & **R**eview

Success criteria (**Process** output)

Position
Leader power
Personal

Leadership Enhancers

Leader behavior

OUTCOME

Primary goals
- Mission accomplishment
- Member commitment&WB
- Internal order & integration
- External Adaptability
Perceived effectiveness & legitimacy

Secondary goals
- Reputation
- Confidence & Trust
- Support

Monitor & Adjust

Leadership Neutralizers

3. **D**eploy Approach (indirect/direct)

DO

Situational variables

Situational variables
- Performance strategy
- Policies
- Resources
- External coordination
- Work organization

Leadership Replacements

Intervening variables

Intervening variables
- Follower effort/commitment
- Follower ability
- Follower role clarity
- Cohesion and teamwork

Emotional Implications

Situational characteristics
- External dependency (interagency/joint/multinational)
- Nature of work (killing/dying – technical)
- Management level (supervisory/middle/executive)
- Organization/unit size (from dyad to organization)
- Uncertainty (peacetime/wartime/change)
- Organization/unit maturity (start up/on way/mature)

Organizational Values and Culture

(Inter) National Values and Culture

Figure 12. Generic BDF Leadership Framework

The process begins when a mission is imposed by the leader's superiors or when the leader exploits an opportunity or takes initiative. The leader (alone or with others) diagnoses the situation and envisions the desired results. He also takes into account the possible second order outcome of these results and weighs the four competing leadership dimensions. The result of this first faze is an expression of the leader's intent.

Next, the leader starts planning his approach. In this step, the leader's ability to demonstrate behavioral complexity is of primary importance. First, he determines what direct and indirect actions are needed, carefully maintaining the balance between the four competing leadership dimensions and taking the situational characteristics into account. He tries to reduce the effects of leadership neutralizers and exploit those of leadership replacements and enhancers. Second, the leader determines what combination of influence tactics will be the most effective in function of the specific task or change oriented goal, the organization's culture, his influence target, his power position, and his competencies. Third, in addition to the tactics he will use, the leader determines what kind of approach will induce maximal motivation among his followers.

In a third step, the leader deploys his planned approach. This approach can include direct influence actions, indirect influence actions, or a combination of both. Direct influence actions are performed by the leader as a result of proximity between him and the influence target. These direct actions have mostly an immediate effect on individual or group perceptions, understanding, knowledge, skill, effort or other factors of conduct, performance morale, or satisfaction. Indirect influence actions work at a distance and result generally in alterations to slow-changing people attributes (for

instance attitudes and values) or changes to the situational enablers of behavior, performance, and satisfaction.

During the approach deployment phase, the leader remains accountable for the actions of his subordinates. Hence, the leader monitors the processes against expectations, norms, and standards and takes adjustive action to ensure maximum output.

On a regular base, the leader also conducts a formal and systematic assessment to measure the effects (outcome) of his organization's output. The results of this assessment will show to what extent the organization is successful in carrying out its mission, functions smoothly, takes care of its people and maintains their commitment, and is able to adapt and overcome challenges and obstacles. If needed, the leader reviews the whole process in order to improve it. Moreover, conducting an assessment and review enables the leader to learn, thereby enhancing his own competencies and broadening his experience.

Additionally, the stakeholders' perceived effectiveness and legitimacy of the primary outcome results influence the organization's image and reputation, trust, confidence and support. In turn, these secondary outcomes can influence the organization's situational and intervening variables. At the same time, output and outcome results will influence the leader's power position and behavior.

Finally, the model does not imply that there is only one optimal pattern of behavior in any given situation. Leaders usually can choose among a number of variables to influence people and different patterns of behavior are usually possible to achieve the same desired result. Finally, the overall pattern of leadership behavior by all leaders at the different levels in the organization is more important than any single action.

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BDF Leadership Definition

As mentioned in chapter 1, a definition of effective BDF leadership must be culturally and organizationally appropriate. Based on the previously defined BDF leadership process and major leadership competencies, effective BDF leadership is founded on the following principles:

1. Effective leaders develop the necessary competencies that will better enable them to carry out their roles.

2. Effective leaders understand the broad leadership dimensions, the inter-relationships among these dimensions, and their roles related to each dimension; they use direct and indirect influence processes and appropriately delegate their responsibilities to contribute to mission success, members' well-being and commitment, internal stability and cohesion, and the continuous improvement of their organization or unit's capabilities.

3. Effective leaders master the task processes; they exhibit strong diagnostic skills, are skilled in a broad range of influence tactics and approaches, and can apply them appropriately; they monitor and evaluate the performance of their subordinates and units to ensure conformity with standards, plans, and overall intent.

4. Effective leaders master the change processes; they demonstrate systems thinking and diagnostic skills; flexibly adapt change strategies and influence tactics to relevant contingencies; they monitor and evaluate the systems for which they are responsible to ensure that performance is in accordance with standards, functional requirements, and their organization or unit's strategy.

5. Effective leaders understand their responsibility for maintaining organizational or unit effectiveness and legitimacy and its effects on the reputation of their organization

or unit, public trust, confidence, and support; they exercise their authority and ensure that all conduct, activities, outputs and outcomes within their responsibility are consistent with legal, ethical, and professional values.

In consequence, BDF leadership can be defined as: influencing people to accomplish the mission legally, ethically, and professionally, while building and maintaining member well-being and commitment, internal order and cohesion, and improving the organization.

Hence, effective BDF leaders can be described as: empowered and competent leaders of character influence people to accomplish their missions, while building and maintaining member well-being and commitment, internal order and cohesion, and improving their organization.

When incorporating the EFQM's sense and philosophy of excellence, this description can be boiled down to: empowered and competent leaders of character act to achieve organizational excellence.

<div align="center">Conclusion</div>

The BDF must deal with the knowledge that its military's last war ended about 60 years ago and that true combat experience in that period has been very limited. Heroic-warrior leadership and the demand for absolute loyalty have become mixed with an organization assuming a more civilian form of organization. As a result, societal influences at all levels have grown and will continue to do so in the near future.

In consequence, a contemporary BDF leadership doctrine must be in accordance with this evolution. Such a leadership doctrine must be broad enough to encompass all

the members of the profession of arms and simultaneously provide sufficient basic guidance to assist people in fulfilling their specific leadership positions.

Furthermore, it is vital for leaders operating in a rapidly changing environment to exhibit behavioral flexibility and not to take the same approach in every situation or treating every person's issues in an identical manner. Instead, leaders must sense their environment and adapt their behavior. Leaders must recognize the need to correct deficiencies and act with appropriate patterns of influence behaviors. In consequence, they must understand a variety of leadership theories and use them as heuristic aids, not as deterministic models. An overview of how various leadership theories and models can contribute to the proposed leadership doctrine is depicted in appendix X.

Hence, the BDF and its leaders must embrace the concepts of continuous learning through (self-)assessment, self-development, mentoring, and proper organizational learning to acquire newly needed skills. However, legal, ethical, and professional values remain constant, as does the requirement to adhere to them.

Under a philosophy of distributed leadership capability, these conclusions apply equally to all leaders in the BDF, regardless of status, rank, or appointment.

CHAPTER 5

CONCLUSIONS AND RECOMMENDATIONS

A leader is someone who can adapt principles to circumstances.

General George S. Patton, US Army

Conclusions

The methodology of this research paper was chosen to reduce the cultural and perceptual biases that generally occur in leadership studies. Commonalities were determined between leadership in civilian and military organizations in general and in the BDF in particular. In addition, a roadmap for addressing the differences was established.

As a starting point, management and leadership are posited as two distinct processes done by the same people. Management entails ensuring efficiency, completing the technical, more mechanical aspects of every day tasks and preserving internal stability through close conformity to policy, procedures, rules, and regulations. Leadership, in contrast, encompasses the development and implementation of character and the vision that must accompany the decision making process during task accomplishment and change implementation at all organizational levels. Moreover, while management works within an organizational culture, leadership is concerned with redesigning that culture to maximize performance.

Measuring leadership effectiveness remains a daunting undertaking that requires the use of multiple criteria and takes into account delayed effects and external influences. In addition, a distinction must be made between perceived organizational outcome and leadership effectiveness.

A comprehensive study of leadership in civilian organizations resulted in the adoption of an integrating conceptual framework that allows for the integration of all the identified major (but more restrictive) leadership models.

Focusing on the specificity of contemporary Western military organizations, the study revealed the existence of a common Western military culture and a collective military profession of arms. Moreover, within this collective profession, the more traditional war-fighting profession is currently complemented with a flourishing pragmatic profession whose emergence is caused by (1) the growing reliance of military organizations on a diversity of specialists to reach their goals and (2) the convergence of the operating areas of military and non-military organizations.

Although both professions are intertwined, their members are differentiated by their degree of specialization, their support role, and their physical proximity to the killing and dying process, or more specifically, by the psychological implications derived from their particular operating environment. Consequently, strong legal position power invests the military leaders within the war-fighting profession with additionally authority, responsibility, and accountability, identifying them as commanders and giving them the potential to create the emotional effects that engender their subordinates' commitment and will to fight. More than other military leaders, commanders need to exhibit transformational and situational leadership behavior due to the specificity of their contemporary operating environment.

Moreover, due to these differences in legal and psychological significance, military leaders must rely far more than their civilian counterparts on the adherence to ethical, individual, organizational, and national values, which are most often embedded in

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an explicit military ethos. Finally, the differential gap between leaders in military organizations decreases when climbing the three complexity levels of the military organization.

Based on the situational characteristics of the BDF, an appropriate leadership process model and a roadmap for the development of a leadership competency model were combined to form a framework for operationalizing effective leadership that is distributed throughout the BDF. This framework is based upon the integration of three generic models: Yukl's Conceptual Leadership Process Model, Quinn's Competing Values Model, and the European Foundation for Quality Management Excellence Model. The proposed framework extends the current leadership initiatives and proposals that exist in the BDF by incorporating a broad number of leadership theories and emphasizing the situational characteristics of the different BDF leadership environments. It is centered on a leader who internalizes the appropriate values, is sensitive to cultural aspects, and possesses the power and competencies that provide him with the behavioral complexity indispensable to operating in a changing environment characterized by rapidly emerging technologies, new tasks, and shorter shelf-life of individual skills, greater accountability, and strong fiscal pressures.

Finally, the contributions of the EFQM Excellence model to the development of such a leadership doctrine are twofold:

1. As a management tool, it provides a conceptual framework and an extensive list of criteria and practical guidelines for effectively managing the BDF and its various sub-organizations. The proposed leadership framework embeds this list in the situational and intervening variables. However, due to the EFQM Excellence model's generic

design, more specific management tools are needed to ensure effective strategic communication and policy deployment at the higher and more complex organizational levels.

2. As a self-assessment tool, it provides a method for continuous improvement. This tool helps BDF leaders recognize current organizational strengths and weaknesses in the way the BDF and its various sub-organizations manage and conduct their activity, by identifying areas in need of improvement. The proposed leadership framework incorporates this method through the integration of the EFQM Excellence model's RADAR logic and the recognition of the important effects of the perceived effectiveness and legitimacy on the situational and intervening variables.

<div align="center">Recommendations</div>

<div align="center">Operationalization</div>

The proposed BDF leadership framework is broad enough to encompass all leaders of the profession of arms but it must be operationalized to provide sufficient basic guidance to assist people in fulfilling their specific leadership positions. The following recommendations are made to guide this future operationalization process:

1. Since the Department of Evaluation has received the mission to support a new leadership and decision-making culture throughout the organization, it seems logical that this department takes the lead in such an operationalization process. In addition, the department can use a similar method it already uses for the implementation of the EFQM Excellence model as a self-assessment tool throughout the BDF: a top-down approach but in close cooperation with its clients.

2. The publication of an ethos that unites all members of the BDF by defining common values but recognizes at the same time the differences in expertise and identity of its members is highly recommended. Such an ethos must emphasize the common identity and unity that is needed in the BDF's collective military profession.

3. The proposed holistic situational military leadership framework in this research paper indicates that a command doctrine for the war-fighting specialists must be interlinked with a military leadership doctrine for all other leaders in the organization. This approach provides unity, clarity and transparency while simultaneously recognizing the war-fighting profession's unique ordered use of force. On the tactical level of the command doctrine, differences in psychological implications derived from the operational context can be accounted for by developing a doctrine for each component which would nevertheless remain nested in the broader command doctrine. Moreover, operationalization should occur to the level that is requested by the client.

4. Since BDF leaders are being called upon to operate more and more within international organizations, the findings of leadership research initiatives such as the GLOBE project (study of universal competencies and behavior), must be integrated as much as possible to ensure maximal effectiveness in a multi-cultural environment.

Leadership Development

Since organizational leadership development is steered by the Department of Education, this department should be closely involved in the entire operationalization and implementation process. Collaboration, exchange of information, and sharing of expertise across the BDF's departmental boundaries is indispensable for readily adjusting development programs to new and quickly arising leadership requirements. Therefore,

the creation of a leadership development learning process is recommended. This process should use context-relevant study and assessment to continuously adjust the curriculum of leadership development programs and must be underpinned by a network between the different elements involved in leadership development programs. Such a networked approach to leadership development should lead to multiple perspectives of leadership that are more appropriate to a rapidly changing environment and more valuable for the military profession.

Leadership skills are acquired following a sequence of developmental stages which Wickens defines as:

1. The acquisition of foundation knowledge in the general principles of the skill (declarative-knowledge phase)

2. Behavioral development and tuning of the skill under conditions of supervised practice and performance feedback (procedural phase)

3. Skill consolidation through extensive follow-on practice (automation phase) (Wickens 1984).

Applying these phases to the proposed framework for BDF leadership leads to the following general recommendations regarding leadership development in the BDF:

1. Declarative-knowledge phase

Adequate conceptualization of leadership processes and principles is an essential step but is only a first step. In addition, systematic exposure to leadership theory which must be viewed as heuristic aids, not as deterministic models, must be integrated in BDF leadership development programs to provide for a foundation for effective skill development

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2. Procedural phase

Individuals exposed to leadership theory must have an opportunity to practice leadership behaviors under controlled conditions and receive feedback on their performance to become competent leaders.

BDF leadership development must aim to expand the behavioral repertoire of leaders and their ability to perform them appropriately in new situations. This will result in leaders who are more deliberate, analytical, flexible, pro-active, and innovative.

Leadership training beyond the supervisory level must emphasize the appropriate and skillful use of influence tactics (downward, lateral, and upward), building personal power and learning how to use position power effectively.

There must be consistency between training doctrine and operational practice to successfully transfer the leadership skills acquired in training to the leader's specific operating environment.

3. Automation phase

Opportunities for practice and consistent mentoring and feedback must be created in their specific operating environment to allow BDF leaders to internalize skills and become proficient in performing them.

Successful execution of these three phases requires more than completing organizational leadership development programs at fixed moments in a leader's career. To acquire new skills when needed, the BDF and its leaders must embrace the concepts of life-long and continuous learning through the full exploitation of the three pillars of leadership development: organizational, operational, and self-development. Furthermore,

the BDF must adopt modern development techniques, such as distance learning and network learning, and promote them to its leaders.

Finally, diversification of leadership development programs will provide the BDF with a varied inventory of competencies that are distributed among its members and can be used at any critical point in time.

<center>Attuned Human Resource Management</center>

Since functional skills and a number of leadership skills and behaviors are readily trainable, the BDF individual training system is currently designed to internalize them in a matter of weeks or months. However, adequate selection processes must insure that leaders possess the minimum skills and attributes necessary to attain competence prior to their new assignment. Therefore, the new competence management concept within the BDF will provide an opportunity to effectively match the individual's competencies with the required occupational competencies. The roadmap for competencies provided in this research paper can support the ongoing development of this new concept.

Finally, the proposed competency roadmap also indicates that attributes develop slowly and are harder to modify once firmed up. The fact that the BDF recruits young adults, whose education and social and moral development are not yet complete, provides opportunities for professional socialization and character development, especially value-based reasoning skills. In this regard, it is important for the conservation of the military profession that junior members stay long enough in the war-fighting systems to link up with the military specificity.

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APPENDIX A

KEY VARIABLES INCLUDED IN LEADERSHIP THEORIES

Characteristics of the leader:
- Traits (motives, personality, values)
- Confidence and optimism
- Skills and expertise
- Behavior
- Integrity and ethics
- Influence tactics
- Attributions about followers

Characteristics of the followers:
- Traits (needs, values, self-concepts)
- Confidence and optimism
- Skills and expertise
- Attributions about the leader
- Trust in the leader
- Task commitment and effort
- Satisfaction with leader and job

Characteristics of the situation:
- Type of organizational unit
- Size of unit
- Position power and authority
- Task structure and complexity
- Task interdependence
- Environmental uncertainty
- External dependencies

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APPENDIX B

CAUSAL RELATIONSHIP AMONG THE PRIMARY TYPES

OF LEADERSHIP VARIABLES

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APPENDIX C

EXAMPLES OF TASK, RELATIONS AND CHANGE ORIENTED BEHAVIORS

Task-oriented behaviors:
• Organize work activities to improve efficiency.
• Plan short-term operations.
• Assign work to groups or individuals.
• Clarify role expectations and task objectives.
• Explain rules, policies, and standard operating procedures.
• Direct and coordinate the activities of the unit.
• Monitor operations and performance.
• Resolve immediate problems that would disrupt the work.
• Emphasize the importance of efficiency, productivity, and quality.
• Set high standards for unit performance.

Relations-oriented behaviors:
• Provide support and encouragement.
• Express confidence that people can attain challenging objectives.
• Socialize with people to build relationships.
• Recognize contributions and accomplishments.
• Provide coaching and mentoring.
• Consult with people on decisions affecting them.
• Keep people informed about actions affecting them.
• Help resolve conflicts.
• Use symbols, ceremonies, rituals, and stories to build team identity.
• Lead by example and model exemplary behavior.

Change-oriented behaviors:
• Interpret events to explain the urgent need for change.
• Study competitors and outsiders to get ideas for improvements.
• Envision exciting new possibilities for the organization.
• Encourage people to view problems or opportunities in a different way.
• Develop innovative new strategies linked to core competencies.
• Encourage and facilitate innovation and entrepreneurship by others.
• Encourage and facilitate learning by individuals and teams.
• Experiment with new approaches.
• Build a coalition of key people to get change approved.
• Form task forces to guide implementation of change.
• Make symbolic changes that are consistent with a new vision or strategy.
• Empower people to implement new strategies.
• Announce and celebrate progress in implementing change.

APPENDIX D

SUMMARY OF RESULTS FOUND FOR SPECIFIC INFLUENCE TACTICS

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APPENDIX E

OVERVIEW OF MAJOR CONTINGENCY LEADERSHIP MODELS

Managerial Grid

Robert R. Blake and Anne Adams McCansel refined the Leadership Grid which identified various types of managerial leadership based on concern for production coupled with concern for people. While they consider the "team management" style of leadership to be ideal, they recognize that it may be difficult to implement in some work situations. Effective managers have great concern for both people and production. They work to motivate employees to reach their highest levels of accomplishment. They are flexible and responsive to change, and they understand the need to change.

Fiedler's Contingency Theory

Fred Fiedler developed a contingency or situational theory of leadership. Fiedler postulates that three important situational dimensions are assumed to influence the leader's effectiveness. They are:
1. Leader-member relations: the degree of confidence the subordinates have in the leader. It also includes the loyalty shown the leader and the leader's attractiveness.
2. Task structure: the degree to which the followers' jobs are routine as contrasted with non-routine.
3. Position power: the power inherent in the leadership position. It includes the rewards and punishments typically associated with the position, the leader's formal authority (based on ranking in the managerial hierarchy), and the support that the leader receives from supervisors and the overall organization.

Path-Goal Theory

The path-goal theory postulates that the most successful leaders are those who increase subordinate motivation by charting out and clarifying the paths to high performance.

According to Robert House's path-goal theory, effective leaders:
1. Motivate their followers to achieve group and organizational goals.
2. Make sure that they have control over outcomes their subordinates desire.
3. Reward subordinates for performing at a high level or achieving their work goals by giving them desired outcomes.
4. Raise their subordinates' beliefs about their ability to achieve their work goals and perform at a high level.
5. Take into account their subordinates' characteristics and the type of work they do.

Leader-Style Theory

The Vroom and Yetton Model describes the different ways leaders can make decisions and guides leaders in determining the extent to which subordinates should participate in decision making. The expanded version of their model, the "Vroom, Yetton, Jago Model," holds that (1) organizational decisions should be of the highest quality and (2) subordinates should accept and be committed to organizational decisions that are made. The model presents methods for determining the appropriateness of leader style.

Hersey and Blanchard Situational Theory

Paul Hersey and Kenneth H. Blanchard identified a three-dimensional approach for assessing leadership effectiveness:
1. Leaders exhibit task behavior (the extent to which leaders are likely to organize and define the roles of followers and direct the work) and relationship behavior (the extent to which leaders are likely to be supportive, encouraging, and the like).
2. The effectiveness of the leader depends on how his or her leadership style interrelates with the situation.
3. The willingness and ability (readiness) of an employee to do a particular task is an important situational factor.

This approach is easy to understand, offers suggestions for changing leadership style, and shows leaders what to do and when to do it. It focuses on the need for adaptability (the degree to which the leader is able to vary his or her style appropriately to the readiness level of a follower in a given situation).

FULL RANGE LEADERSHIP

The full range leadership model is based on over 100 years of leadership research. It identifies both transactional and transformational behaviors.

Transactional behaviors include laissez-faire (hands-off leadership), management-by-exception (putting out the fires) and contingent rewards (let's make a deal).

Transformational behaviors include individualized consideration (compassionate leadership), intellectual stimulation (thinking outside of "the box"), inspirational motivation (exciting the masses/sharing the vision), and idealized influence (walking the walk).

Full Range Leadership Model

Abbreviation	Leadership Component
LF	Laissez-faire
MBE	Management-by-Exception
CR	Contingent Reward
IC	Individualized Consideration
IS	Intellectual Stimulation
IM	Inspirational Motivation
II	Idealized Influence
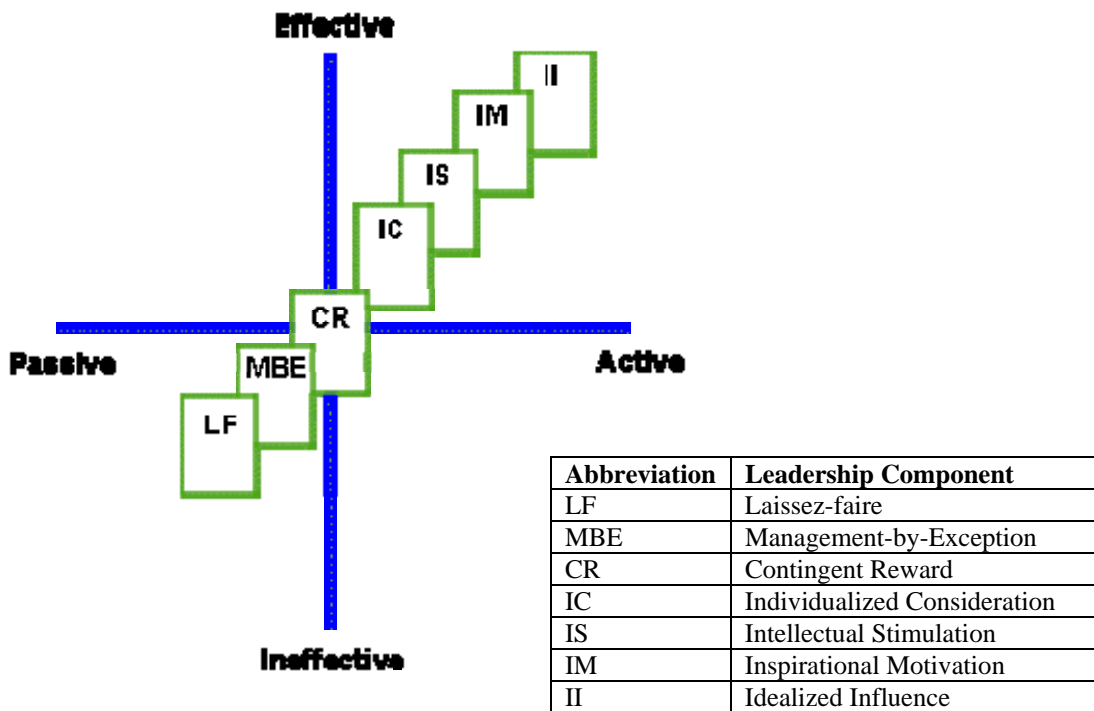
Transactional Leadership

Laissez-Faire (Hands-off leadership)
- Absence of leadership.
- Avoids taking a stand on issues.
- Doesn't emphasize results.
- Refrains from intervening when issues arise.
- Unaware of employee performance.
- "That leader doesn't even care if we do or if we don't."

Management-By-Exception (Putting out the fires)
- Takes corrective actions.
- Sets standards, but waits for problems to arise before doing anything.
- Stresses what people are doing wrong.
- Enforces rules, dislikes challenges to the status quo.
- Only hear from the leader when something is wrong.
- "Uh oh, here he/she comes again!"

Contingent Rewards (Let's make a deal!)
- Constructive transactions.
- Makes clear expectations of outcomes and rewards.
- Exchanges reward and recognition for accomplishments.
- Actively monitors employee's progress and provides supportive feedback.
- "If you do as we agreed, you'll get the reward."

Transformational Leadership

Individualized Consideration (Compassionate leader)
- Empathizing with individual needs.
- Making interpersonal connections with employees.
- Genuinely caring and showing this compassion in actions.
- Encouraging continuous development and growth of employees.
- Sending the message, "I care about you and am looking out for your best interest."

Intellectual Stimulation (Thinking outside of the box)
- Encouraging the imagination of employees.
- Challenging the old ways of doing things.
- Looking for better ways to do things.
- Encouraging followers not to think like him/her.
- Willing to take risks for potential gains.
- Sending the message, "If we change our assumptions, then…."

Inspirational Motivation (Exciting the masses/Sharing the vision)
- Inspiring others to perform.
- Clarifying where the organization will be in the future.
- Creating a strong sense of purpose among employees.
- Aligning individual and organizational needs.
- Helping followers achieve more than even they thought was possible.

- Sending the message, "If we focus on what this organization stands for we can achieve whatever we desire!."

Idealized Influence (Actions speak louder than words)
- Demonstrating an inclusive vision
- Walking the walk
- Exhibiting great commitment and persistence in pursuing objectives.
- Expressing confidence in the vision of the organization.
- Developing trust and confidence among employees.
- Symbolizing the goals and mission of the organization.
- Sending the message, "I believe that this is truly the right thing to do."

Laissez-Faire (LF) is the most inactive and generally least effective of the leader behaviors. Research shows that leaders using this style of leadership are rarely viewed as effective on the job.

Management-by-exception (MBE) is more effective than Laissez-faire, but is generally ineffective leadership. Management-by-exception behavior is often related to high employee turnover and absenteeism, poor satisfaction and poor perception of organizational effectiveness. **Contingent rewards** (CR) can be an effective style of leadership. However, leaders will not get more than they bargain for when practicing this style of leadership.

It is only with the remaining four behaviors that leaders are able to motivate followers to perform above expectations and transcend their own self-interest for the sake of the organization. The four — **individualized consideration** (IC), **intellectual stimulation** (IS), **inspirational motivation** (IM), and **idealized influence** (II) — have all resulted in extra effort from workers, higher productivity, higher morale and satisfaction, higher organizational effectiveness, lower turnover, lower absenteeism and greater organizational adaptability to changes in the environment.

Based on these findings, leaders are generally most effective when they regularly use each of the four transformational behaviors (individualized consideration, intellectual stimulation, inspirational motivation, and idealized influence) to build on contingent rewards.

When effective, the transformational leader can migrate from a more directive style of leadership to a participative style when the situation warrants as shown in the following table.

	Participative	**Directive**
Laissez-Faire	Whatever you think is the correct choice is OK with me	If my followers need answers to questions, let them find the answers themselves
Management-by-Exception	Let's develop the rules together that we will use to identify mistakes	These are the rules and this is how you have violated them
Contingent Reward	Let's agree on what has to be done and how you will be rewarded if you achieve these objectives	If you achieve the objectives I've set, I will recognize your accomplishment with the following reward …
Individualized Consideration	What can we do as a group to give each other the necessary support to develop our capabilities?	I will provide the support you will need in your efforts to develop yourself in the job
Intellectual Stimulation	Can we try to look at our assumptions as a group without being critical of each other's ideas until all assumptions have been listed?	You must reexamine the assumption that a cold fusion engine is a physical impossibility. Revisit this problem and question your assumption
Inspirational Motivation	Let's work together to merge our aspirations and goals for the good of our group	You need to say to yourself that every day you are getting better. You must look at your progression and continue to build upon it over time
Idealized Influence	We can be a winning team because of our faith in each other. I need your support to achieve our mission	Alea iacta est (I've made the decision so there is no going back). You must trust me and my direction to achieve what we have set out to do

Description of participative versus directive leadership and the components of the Full Range of Leadership

The following figure summarizes the complete Full Range Leadership Model, to include all components of transformational and transactional leadership.

Transformational

- II: Gaining trust, respect and confidence; setting high standards of conduct; a role model.
- IM: Articulating the future, desired end state and the confidence to achieve it (overcoming resistance to change).
- IS: Questioning the status quo and continuously innovating, even at the peak of success (fostering new ideas and innovation).
- IC: Energizing people to develop and achieve their full potential/performance.

4 I's

CR — Developing well-defined roles and expectations to achieve desired performance/ quality

MBE-A — Searching for what's done wrong, not what's done right

MBE-P — Focusing on mistakes only after they have occurred and patching problems

LF — Avoiding leadership; abdicating responsibility

Summarizing A Full Range of Leadership Styles

Sources:

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APPENDIX G

TAXONOMY USED IN CROSS-CULTURAL RESEARCH ON LEADERSHIP

Power Distance: the extent to which people accept differences in power and status among themselves. In a high power distance culture, leaders have more authority, they are entitled to special rights and privileges, they are less accessible, and they are not expected to share power with subordinates.
High: Russia, China, Philippines, Mexico, Venezuela, India, <u>Belgium</u>
Medium: Netherlands, Italy, Pakistan, Japan, Greece, <u>United States</u>
Low: Israel, Austria, Denmark, England, New Zealand

Uncertainty Avoidance: the extent to which people feel comfortable with ambiguous situations and inability to predict future events. In cultures with high avoidance of uncertainty, there is more fear of the unknown, security and stability arc more important, conflict is avoided, plans and forecasts are more valued, and there is more emphasis on formal rules and regulations.
High: Japan, France, Russia, Argentina, Spain, <u>Belgium</u>
Medium: China, Netherlands, Switzerland, Pakistan, Taiwan, Finland
Low: Singapore, Hong Kong, Denmark, England, Sweden, <u>United States</u>

Individualism: the extent to which the needs and autonomy of individuals are more important than the collective needs of the work unit or society. In individualistic cultures, people are identified more by their own achievements than by their group memberships or contributions to collective success, and individual rights are more important than social responsibilities.
High: <u>United States</u>, Netherlands, England, Australia, Canada, <u>Belgium</u>
Medium: Russia, Japan, Austria, Israel, Spain, India
Low: China, Indonesia, Thailand, Pakistan, Hong Kong, Venezuela

Gender Egalitarianism: the extent to which men and women receive equal treatment, and both masculine and feminine attributes are considered important and desirable. In cultures with high gender egalitarianism, sex roles are not clearly differentiated, jobs are not segregated by gender, and attributes such as compassion, empathy, and intuition are as important as assertiveness, competitiveness, and objective rationality.
High: Denmark, Norway, Finland, Sweden, Netherlands, Chile
Medium: Canada, Indonesia, Israel, France, India, China, <u>Belgium</u>, <u>United States</u>
Low: Japan, Austria, Italy, Mexico, Venezuela, Switzerland

Source: G. Hofstede, *Culture's consequences: International differences in work-related values.* (London: Sage, 1980).

APPENDIX H

NARROW APPROACH OF EMOTIONAL INTELLIGENCE

Perception, Appraisal, And Expression of Emotion

- Ability to identify emotion in other people and objects.
- Ability to express emotions accurately and to express needs related to those feelings.
- Ability to discriminate between accurate and inaccurate, or honest and dishonest, expressions of feelings.

Emotional Facilitation of Thinking

- Ability to redirect and prioritize one's thinking based on the feelings associated with objects, events, and other people.
- Ability to generate or emulate vivid emotions to facilitate judgments and memories concerning feelings.
- Ability to capitalize on mood swings to take multiple points of view; ability to integrate these mood-induced perspectives.
- Ability to use emotional states to facilitate problem solving and creativity.

Understanding and Analyzing Emotional Information; Employing Emotional Knowledge

- Ability to understand how different emotions are related.
- Ability to perceive the causes and consequences of feelings.
- Ability to interpret complex feelings, such as emotional blends and contradictory feeling states.
- Ability to understand and predict likely transitions between emotions.

Regulation of Emotion

- Ability to be open to feelings, both those that are pleasant and those that are unpleasant.
- Ability to monitor and reflect on emotions.
- Ability to engage, prolong, or detach from and emotional state, depending upon its judged informativeness or utility.
- Ability to manage emotion in oneself and others.

Source: J.D. Mayer and P. Salovey. What is emotional intelligence? *Emotional development and emotional intelligence: Educational implications*. (New York: Basic Books, 1997).

APPENDIX I

BROAD APPROACH OF EMOTIONAL INTELLIGENCE

Personal Competence: These capabilities determine how we manage ourselves.

Self-Awareness
- *Emotional self-awareness*: Reading one's own emotions and recognising their impact; using "gut sense" to guide decisions.
- *Accurate self-assessment*: Knowing one's strengths and limits.
- *Self-confidence*: A sound sense of one's self-worth and capabilities.

Self-Management
- *Emotional self-control*: Keeping disruptive emotions and impulses under control.
- *Transparency*: Displaying honesty and integrity; trustworthiness.
- *Adaptability*: Flexibility in adapting to changing situations or overcoming obstacles.
- *Achievement:* The drive to improve performance to meet inner standards of excellence.
- *Initiative*: Readiness to act and seize opportunities.
- *Optimism*: Seeing the upside in events.

Social Competence: These capabilities determine how we manage relationships.

Social Awareness
- *Empathy*: Sensing other's emotions, understanding their perspective, and taking active interest in their concerns.
- *Organisational awareness*: Reading the currents, decision networks, and politics at the organisational level.
- *Service*: Recognising and meeting follower, client, or customer needs.

Relationship Management
- *Inspirational leadership*: Guiding and motivating with a compelling vision.
- *Influence*: Wielding a range of tactics for persuasion.
- *Developing others*: Bolstering others' abilities through feedback and guidance.
- *Change catalyst*: Initiating, managing, and leading in a new direction.
- *Conflict management*: Resolving disagreements.
- *Building bonds*: Cultivating and maintaining a web of relationships.
- *Teamwork and collaboration*: Cooperation and team building.

Goleman, Boyatzis and McKee's Six Modes of Leadership

Resonant Leadership

	VISIONARY	COACHING	AFFILIATIVE	DEMOCRATIC
How it builds resonance	Moves people towards shared dreams	Connects what a person wants with the organisation's goals	Creates harmony by connecting people to each other	Values people's inputs and gets commitment through participation
Impact on climate	Most strongly positive	Highly positive	Positive	Positive
When appropriate	When changes require a new vision, or when a clear direction is needed	To help an employee improve performance by building long-term capabilities	To heal rifts in a team, motivate during stressful times, or strengthen connections	To build buy-in or consensus, or to get valuable input from employees

Dissonant Leadership

	PACESETTING	COMMANDING
How it builds resonance	Meets challenging and exciting goals	Soothes fears by giving clear direction in an emergency
Impact on climate	Because too frequently poorly executed, often highly negative	Because so often used, highly negative
When appropriate	To get high-quality results from a motivated and competent team	In a crisis, to kick-start a turnaround, or with problem employees

Source: D. Goleman, R. Boyatzis, and A. McKee. *Primal leadership: Realizing the power of emotional intelligence.* (Boston, MA: Harvard Business School Press, 2001).

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APPENDIX J

INTEGRATING CONCEPTUAL FRAMEWORK OF LEADERSHIP PROCESS

APPENDIX K

INTERVENING VARIABLES AND AFFECTING CONDITIONS

DUE TO COPYRIGHT RESTRICTIONS,

IMAGES ARE NOT INCLUDED

IN THIS ELECTRONIC EDITION.

APPENDIX L

UNIVERSAL LEADER COMPETENCIES AND BEHAVIOR

Leader Competencies and Behaviors Universally Viewed as Positive

Trustworthy	Positive	Intelligent
Just	Dynamic	Decisive
Honest	Motive arouser	Effective bargainer
Foresighted	Confidence builder	Win-win problem solver
Plans ahead	Motivational	Administratively skilled
Encouraging	Dependable	Communicative
Informed	Coordinator	Team builder Excellence oriented

Leader Competencies and Behaviors Universally Viewed as Negative

Loner	Non-explicit
Asocial	Egocentric
Non-cooperative	Ruthless
Irritable	Dictatorial

Examples of Leader Competencies and Behaviors That Are Culturally Contingent

Ambitious	Logical
Cautious	Orderly
Compassionate	Sincere
Domineering	Worldly
Independent	Formal
Individualistic	Sensitive

Adapted from R. J. House, P. Hanges, A. Ruiz-Quintanilla, P. W. Dorfman, M. Javidan, M. W. Dickson, V. Gupta, M. Keating, and G. Martin, Cultural Influences on Leadership: Project GLOBE, in *Advances in Global Leadership,* ed. W. H. Mobley, M. J. Gessner, and V. Arnold (Stanford, CN: JAI Press, 1999), 171-233.

APPENDIX M

FRAMEWORK FOR ANALYSIS OF US ARMY PROFESSIONALISM

Level of Analysis	Components of the Army Profession			New Professionalism
	Military-Technical	**Moral-Ethical**	**Political-Social**	
Societal National and global context in which Army exists	National and international uses of military forces.	National and international values and beliefs. .	National and international political and societal systems.	System of professions in which the Army exists.
	Civil-Military Tensions			
Institutional Internal context and systems	Internal Army systems supporting military-technical capabilities. .	Internal Army systems that establish, communicate, and maintain the profession's norms and values.	Internal Army systems focused on political and societal actions.	State of the profession. .
	Army-Soldier Tensions			
Individual People who constitute the Army	Individual knowledge and skills needed to be successful in the Army.	Individual moral-ethical values.	Political and social knowledge and skills held by or necessary for Army members.	Individual perceptions of the military.
Framework for analysis of US Army professionalism.				

This framework is adapted from Samuel C. Sarkesian*, Beyond the Battlefield: The New Military Professionalism* (New York: Pergamon Press, 1981). See also, Sarkesian and Robert E. Connor, Jr., *The US Military Profession Into the Twenty-First Century* (London: Frank Cass Publishers, 2000).

Source: D. M. Snider, and G.L. Watkins, "The Future of Army Profession: A Need for Renewal and Redefinition", *Parameters* Vol. XXX*,* (autumn 2000): 5-20.

TWO MODELS OF MILITARY PROFESSIONALISM

CHARACTERISTIC	PROFESSION OF ARMS (War-fighting Profession)	PRAGMATIC PROFESSION
Membership	Exclusive	Inclusive
Identity	Homogeneous	Heterogeneous
Structure	Singular	Pluralist
Role	Combat	Constabulary
Image	Heroic warrior	Manager-technocrat
Authority Base	Role	Rules

Source: G. Harries-Jenkins, *Professional Groups and Subgroups in the Contemporary Military Challenges and Opportunities* (Kingston: Canadian Forces Leadership Institute, 2003).

APPENDIX O

MILITARY ORGANIZATIONAL STRUCTURE AND PROFESSIONS

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                        ┌──────────────────┐
                        │     Military     │
                        │   Organization   │
                        └──────────────────┘
              ┌──────────────────┼──────────────────┐
    ┌──────────────────┐ ┌──────────────────┐ ┌──────────────────┐
    │      LAND        │ │       AIR        │ │       SEA        │
    │ Integrating(PA/PF)│ │Integrating(PA/PF)│ │Integrating(PA/PF)│
    └──────────────────┘ └──────────────────┘ └──────────────────┘
      ┌──────┴──────┐     ┌──────┴──────┐     ┌──────┴──────┐
 ┌──────────┐┌──────────┐┌──────────┐┌──────────┐┌──────────┐┌──────────┐
 │War-fighting││Production││War-fighting││Production││War-fighting││Production│
 └──────────┘└──────────┘└──────────┘└──────────┘└──────────┘└──────────┘
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LAND War-fighting	AIR War-fighting	SEA War-fighting
Combat (PA)	Combat (PA)	Combat + Combat Support (PA)
Combat Support (PA)	Combat Support + Combat Service Support (PA)	Combat Service Support (PA)
Combat Service Support (PA)		

PF = Pragmatic Profession
PA = Profession of Arms (War-Fighting Profession)

AN ANATOMY OF KILLING
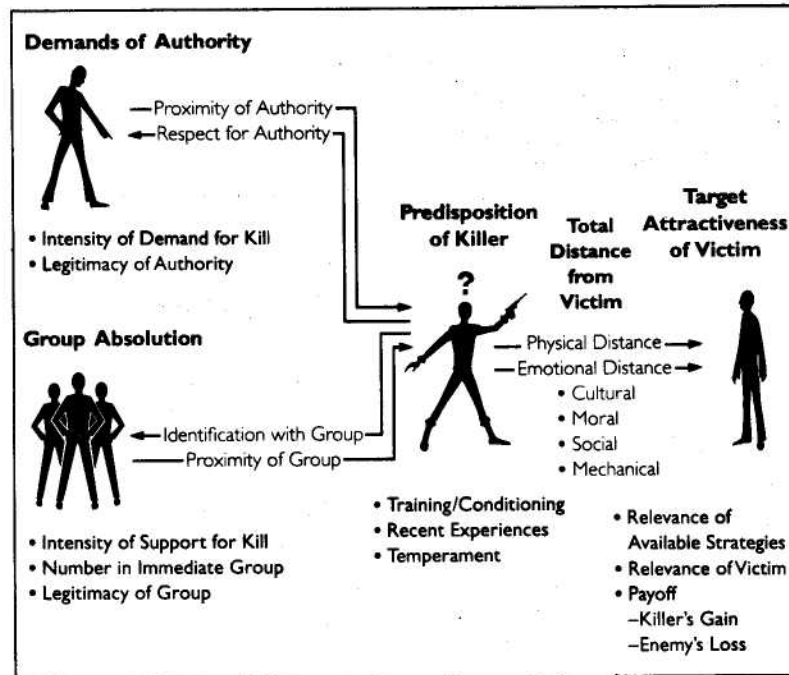
Grossman explains from a psychological point of view the influence process a soldier must undergo in order to be able to kill. To that end, he combines the findings of Milgram (Yale University Researcher) and Shalit (an Israeli military psychologist) with his own findings about the predisposition of the killer.

Milgram identified three primary situational variables that influence or enable killing behavior:

1. Demands of Authority

   a. Proximity of the obedience-demanding authority figure

   b. Subject's subjective respect for the obedience-demanding authority figure

   c. Intensity of the obedience-demanding authority figure's demands of killing behavior

   d. Legitimacy of the obedience- demanding authority figure's authority and demands

2. Group Absolution

   a. Subject's identification with the group

      b.   Proximity of the group to the subject

      c.   Intensity of the group's support for the kill

      d.   Number in the immediate group

      e.   Legitimacy of the group

3. Total Distance from the Victim

      a.   Physical distance between the killer and the victim

      b.   Emotional distance between the killer and the victim, including:

           i.   Social distance, which considers the impact of viewing a particular class less than human in a socially stratified environment

          ii.   Cultural distance, which includes racial and ethnic differences that permit the killer to "dehumanize" the victim

        iii.   Moral distance, which takes into consideration intense belief in moral superiority and "vengeful" actions

        iv.   Mechanical distance, which includes the sterile "video game" unreality of killing through a TV screen, a thermal sight, a sniper sight, or some other kind of mechanical buffer

Shalit developed a model revolving around the nature of the victim and considers the tactical circumstances with:

1. Relevance and effectiveness of available strategies for killing the victim

2. Relevance of the victim as a threat to the killer and his tactical situation

3. Payoff of the killer's action in terms of killer's gain and enemy's loss

Grossman found additional factors related to the predisposition of the killer:

1. Training/conditioning of the soldier (an effective training program increased the firing rate of the individual US Army infantry man from 15 to 20% in WWII to 55% in Korea and nearly 90 to 95% in Vietnam.

2. Recent experiences of the soldier (for example: having a friend or relative killed by the enemy has been strongly linked with killing behavior on the battlefield)

3. The temperament of the killer. Research suggests that 2% of combat soldiers are predisposed to be "aggressive psychopaths" and need no stimuli to exhibit killing behavior.

Sources: D. A. Grossman, *On Killing* (New York: Little, Brown and Company, 1995); B. Shalit, *The psychology of Conflict and Combat* (New York: Praeger Publishers, 1988); and S. Milgram, Behavioral Study of Obedience, *Journal of Abnormal and Social Psychology* (1963), 67.

APPENDIX Q

KILLING AND PHYSICAL DISTANCE
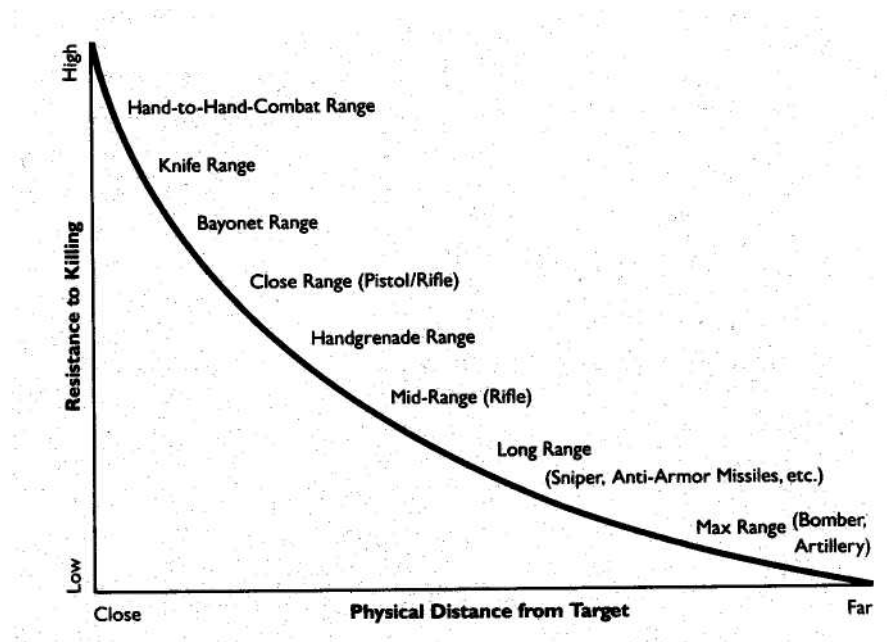
Source: D. A. Grossman, *On Killing* (New York: Little, Brown and Company, 1995).
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APPENDIX R

MODEL FOR EFFECTIVE LEADERSHIP FOR THE CANADIAN DEFENSE FORCE
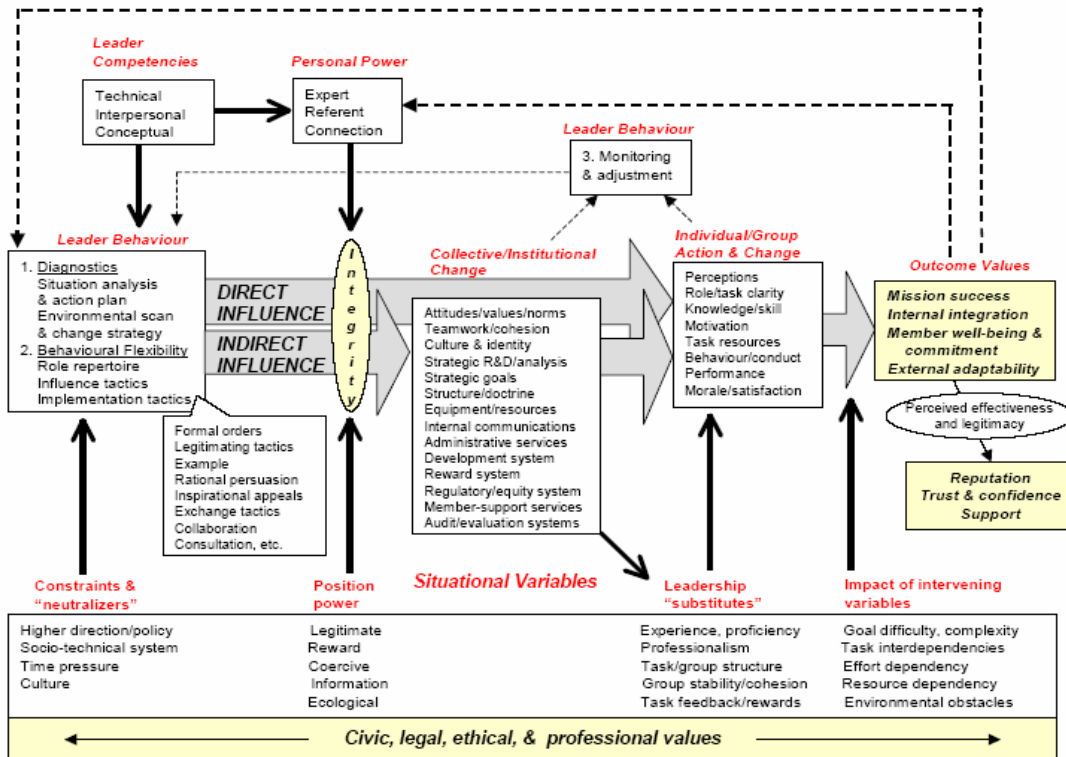
This model illustrates the generic steps and sequence of events that are involved

in the exercise of leadership. The cycle begins at the left-hand edge of the figure with the

CDF's mission and goals and consequential leader responsibilities and tasks. As a result

of superior direction, opportunity, or leader initiative, the initial phase of the leader's

task, relation or change cycle is engaged – assessing requirements and capabilities

through either a localized/tactical situational estimate or a broader/strategic

environmental scan and analysis. Concurrently, situational factors, such as time

limitations or restrictive policies, may constrain or neutralize some aspect of this activity

phase, producing, for instance, an intuitive appreciation rather than a thorough analysis,

or early elimination of some viable decision alternatives because of restrictions imposed by a central agency or policy.

The product of the diagnostic phase might be a high-level strategy, a plan, or a short statement of the leader's aim – all, nevertheless, expressions of leader/commander intent. Intent is put into action through any of several change strategies, influence behaviors, and tactics. At this stage of the process, the ability to demonstrate appropriate situational flexibility will depend on other leader competencies (e.g., a sufficiently broad repertoire of leader roles, self-monitoring, flexibility), while the discretion to do so might be over-ridden or modified by situational or environmental demand characteristics (e.g., urgency). Influence attempts become influence through the position power and personal power available to the leader; personal integrity plays a moderating role, either augmenting or weakening influence.

Influence may affect others (not just subordinates, but peers, superiors, and other people outside the chain of command or the CDF) directly or indirectly. Direct influence works as a result of proximity between the leader and the influence target and has an immediate effect, either altering individual or group perceptions, understanding, knowledge, skill, effort or other constituents of conduct, performance, and morale or satisfaction. Indirect influence works at a distance and results in alterations to slow-changing people attributes (e.g., attitudes and values) or changes to the contextual enablers of behavior, performance, and satisfaction. Various leadership substitutes (e.g., experience, high skill levels, a professional attitude, smart technology, etc.) may obviate the need for leader direction or influence in some circumstance. On the other hand, one of the ways senior leaders make the leadership challenge a little easier for subordinate

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leaders is by developing organizational capabilities and making the deliberate kinds of change that create leadership substitutes and supports.

As direction and influence are translated into action and change, the third phase of the task, relation or change cycle kicks in. Even under concepts of empowerment and delegation, leaders are still accountable for their areas of responsibility, and hence incur a duty of monitoring activity against expectations, legal and ethical norms, and performance standards – and taking corrective action if required. Monitoring involves day-to-day performance measurement based on sometimes crude indicators. On a regular basis, however, the performance of individuals and systems must also be formally and systematically evaluated or audited.

If plans go as intended, and people and systems respond to leaders appropriately, the desired results will probably be achieved. However, any number of uncontrollable factors (e.g., goal difficulty or complexity, resource dependencies, other obstacles) can limit or block success. To the extent that the CDF is successful in carrying out its defense mission, functions smoothly, takes care of its people and maintains their commitment, and is able to adapt to and overcome challenges and obstacles, it will add to its image and reputation as a national institution, while preserving the trust, confidence, and support of the Canadian public.

APPENDIX S

MODEL FOR UNIT EFFECTIVENESS AND READINESS

PSYCHOSOCIAL	ECOLOGICAL
(worth of human resources)	(organization's legitimacy with outside groups)
Mission readiness	**Satisfaction of regulatory agencies**
Psychological state resulting from mental preparation, training, equipment, support and situational forces.	Degree to which the organization complies with the laws and regulations governing its activities.
Commitment	**Community satisfaction**
Level of interest shown by members in their work and the organization and the effort invested in attaining objectives.	Appreciation of the larger community regarding the activities and impact of the organization.
Morale	**Ecological responsibilities**
Degree to which work experience is positively assessed by the members.	The extent to which the organization's product management maintains and improves the quality of the eco-system of the organization.
Performance	
Quality or quantity of production per member or group.	**Social responsibilities**
Personnel development	The appreciation that the community has of the activities
Level to which skills increase among members of the organization	and the effects of the organization.

	POLITICAL PROCESS Establishing and negotiating organizational criteria	

ECONOMICAL	SYSTEMIC
(economic efficiency)	(durability)
Savings of resources	**Product quality**
Degree to which the organization reduces the quantity of resources used while ensuring that the system functions smoothly.	Degree to which the product meets customer needs.
	Satisfaction of financial investors
Productivity	Degree to which investors feel that their funds are being used effectively.
Quantity and quality of goods and services produced by the organization relative to the quantity of resources used to produce them over a given period.	**Profitability**
	Degree to which certain financial indicators (e.g., profitability) of the organization rise or fall relative to previous fiscal years or to a fixed objective.
	Competitiveness
	Degree to which certain economic indicators compare favorably or unfavorably with those of the industry or competitors

Source: M. Villeneuve, T. Dobreva-Martinova, G. Little, and R. Izzo, Military Unit Effectiveness and Readiness: A Theoretical Framework, in *Human in Command* (KMA Royal Netherlands Military Academy, Breda, Amsterdam: Mets and Schilt, 2000).

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APPENDIX T

POINTS OF ATTENTION FOR TACTICAL COMMANDERS IN PSO

Issues in PSO - Mission and Circumstances
- Understand the non-military objectives of the mission, based on broad education
- Assess the political and non-military consequences of actions
- Develop awareness of local cultures and organizations in the operation area
- Develop awareness of cultures of coalition partners (ngos, police, etc)
- Foster mutual trust between possible coalition partners
- Disseminate a unified vision on the mission
- Minimize need for co-ordination and external communications
- Maximize opportunities for internal communications

Issues in PSO - Preparation and Structure
- Combine combat with non-combat skills and attitudes
- Use realistic scenarios with high and low levels of stress and ambiguity
- Provide information on background and cultural aspects of the mission
- Foster mutual trust within the unit and between (international) units
- Decentralize command to lower levels, but stay in the loop for backing up
- Stimulate initiative and taking responsibility by mutual trust and respect
- Develop a team climate with high level of participation and commitment
- Establish a link to a trusted person as sounding board for tough decisions

Issues in PSO - Processes during mission
- Continuously monitor level of motivation, morale, and team state
- Provide rule clarity; address mission relevance; foster personal control
- Maintain team relations, social support, and cohesion
- Control workload by re-distributing tasks or creating extra tasks
- Combine tactical problem-solving with human interrelation and communication competence (high accessibility)
- Foster and support positive feedback and team critique

Issues in PSO - Effectiveness of the unit
- Identify levels of expectations, their stakeholders, and related criteria
- Analyze contradictory demands and clarify tradeoffs
- Identify risk factors in mission, circumstances, command structure, training level, attitudes,
  unit cohesion, technical limitations
- Match possible intentions of warring factions with level of force required
- Maintain legitimacy with local population and warring parties by obtaining and maintaining consent, keeping impartiality, and by limited use of force
- Approach problems with 'contact skills' - constabulary intervention, mediation, negotiation, arbitration, and conciliation

Source: A. L. W. Vogelaar and J. M. D. Essens, The Human in Command in Peace Support Operations: Overview of Issues in *Human in Command* (KMA Royal Netherlands Military Academy, Breda, Amsterdam: Mets and Schilt, 2000).

APPENDIX U

QUINN'S COMPETING VALUES MODEL

Quinn's leadership values are derived from a model of organizational effectiveness that incorporates three sets of competing values.

The first is flexibility versus stability. Organizations are expected to be flexible and adaptive in response to environmental change as well as stable and predictable in their operating procedures.

Second, organizational effectiveness can be described in terms of an emphasis on the well-being of individual members versus the well-being of the organization as a whole. The former reflects a more internal focus, while the latter reflects the organization with respect to its external environment.

Finally, values differ in terms of a focus on process versus outcome.
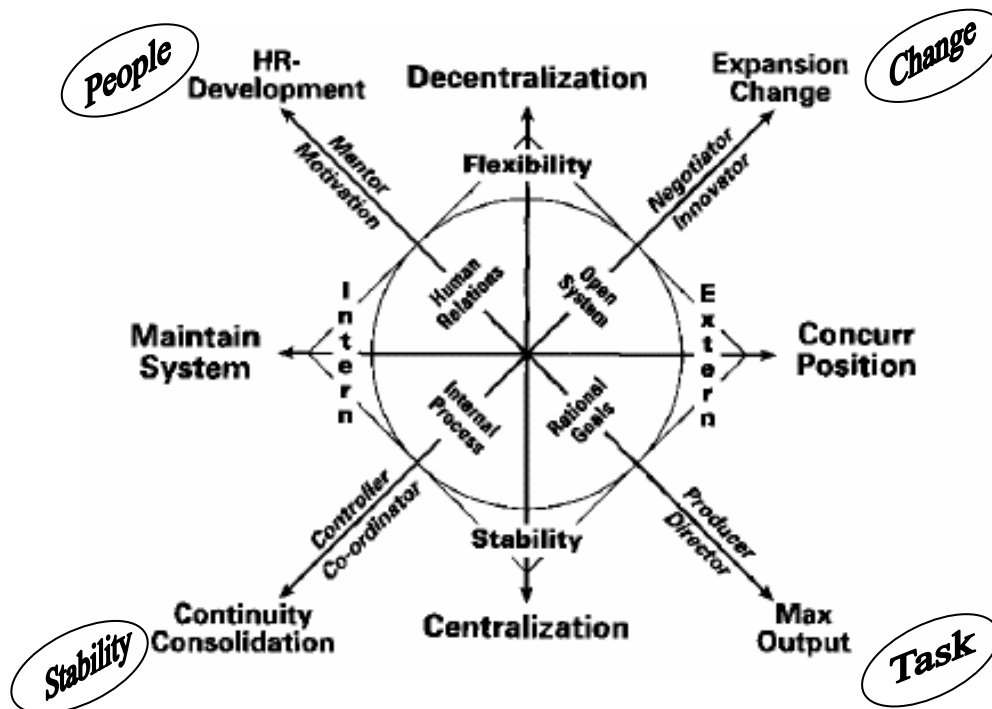
The dimensions of flexibility/predictability and internal/external focus produce four quadrants with each a set of competing behavioral roles.

1. **Rational Goal domain** – Leader roles are producer and director. In the producer role, the leader is expected to exemplify competence and commitment, take responsibility, be energetic, and maintain high personal productivity. As a director, the leader clarifies and defines problems, sets or maintains direction through goals and

objectives, gives instructions, assigns tasks and resources, and evaluates subordinate performance.

2. **Human Relations domain** – Leader roles are motivator and mentor. As a motivator, the leader must foster teamwork, manage interpersonal conflict, and build cohesion and morale. As a mentor, the leader develops people through socialization, training, coaching, and career-development activities.

3. **Internal Process domain** – Leader roles are controller and coordinator. In the controller role, the leader must continually assess the status of his operating unit, ensures rule compliance, reviews reports, carries out inspections, and keeps a handle on the flow of communications. As a coordinator, the leader organizes and schedules tasks, establishes routine procedures, and generally ensures a common understanding of goals and activities.

4. **Open Systems domain** – Leader roles are negotiator and innovator. As a negotiator, the leader is concerned with maintaining legitimacy in the external environment and acquiring resources, and must be persuasive and influential in performing liaison, spokesperson, and political roles. As innovator, the leader must monitor the environment, identify trends, anticipate the future, project and orchestrate adaptive changes, and ultimately facilitate organizational learning.

In addition, Quinn identified some 250 skills by studying leadership behavior in several US organizations. In a second step, he regrouped those skills in eight sets that each correspond with a specific role. In a third step, he ordered the skills of each set according to their importance and put the "top 3" of each role in the CVM. The end result is shown in the following table. Note that the Rational Goals and Internal Process quadrant includes primarily management skills, while the skills of the Human Relations and Opens System quadrant are primarily linked to leadership skills.

CVM QUADRANT	ROLE	COMPETENCIES
RATIONAL GOALS	PRODUCER	1. Personal productivity and motivation 2. Time and stress management 3. Create a productive environment
	DIRECTOR	1. Have a vision, plan, set goals 2. Devise and organize 3. Delegate effectively
INTERNAL PROCESSES	COORDINATOR	1. Project management 2. Design tasks 3. Cross functional management
	CONTROLLER	1. Control own functioning 2. Control functioning of the collectivities 3. Managing information flow
HUMAN RELATIONS	MOTIVATOR	1.Team building 2. Participation in decision making 3. Management of conflicts
	MENTOR	1. Insight into yourself and others 2. Effective communication 3. Development of subordinates
OPEN SYSTEM	NEGOTIATOR	1. Provide and maintain a base of power 2. Negotiate commitment and agreement 3. Present ideas
	INNOVATOR	1. Live with changes 2. Creative thinking 3. Management of changes

Sources:
- R. E. Quinn, Beyond Rational Management: Mastering the Paradoxes and Competing Demands of High Performance (San Francisco, CA: Jossey-Bass, 1988).
- R. E. Quinn, Mastering Competing Values: An Integrated Approach to Management in *The Organizational Behavior Reader,* 5th ed. (Englewood Cliffs, NJ: Prentice-Hall, 1991).
- R. E. Quinn, S. R. Faerman, M. P. Thomson, and M. R. McGrath, *Becoming a Master Manager: A Competency Framework* (New York: John Wiley and Sons, Inc, 1996).

EFQM EXCELLENCE MODEL

The EFQM Excellence Model is a non-prescriptive framework that recognizes there are many approaches to achieving sustainable excellence.

<u>Fundamental Concepts</u>

Excellence is defined by the EFQM as an outstanding practice in managing an organization and achieving results, based on a set of eight fundamental concepts which underpin the model:

Results orientation.
Excellence is dependent upon balancing and satisfying the needs of all relevant stakeholders.

Customer focus.
The customer is the final arbiter of product and service quality and customer loyalty, retention and market share gain are best optimized through a clear focus on the needs of current and potential customers (For military organizations, the national government is considered to be simultaneously customer and budget supplier).

Leadership and constancy of purpose.
The behavior of an organization's leaders create a clarity and a unity of purpose within the organization and an environment in which the organization and its people can excel.

Management by processes and facts.
Organizations perform more effectively when all interrelated activities are understood and systematically managed and decisions concerning current operations and planned improvements are made, using reliable information that includes stakeholder perceptions.

People development and involvement.
The full potential of an organization's people is best released through shared values and a culture of trust and empowerment, which encourages the involvement of everyone.

Continuous learning, innovation and improvement.
Organizational performance is maximized when it is based on the management and sharing of knowledge within a culture of continuous learning, innovation and improvement.

Partnership development.
An organization works more effectively when it has mutually beneficial relationships, built on trust, sharing of knowledge and integration, with its partners.

Public responsibility.
The long-term interests of the organization and its people are best served by adopting an ethical approach and exceeding the expectations and regulations of the community at large.

<u>Content of the Model</u>
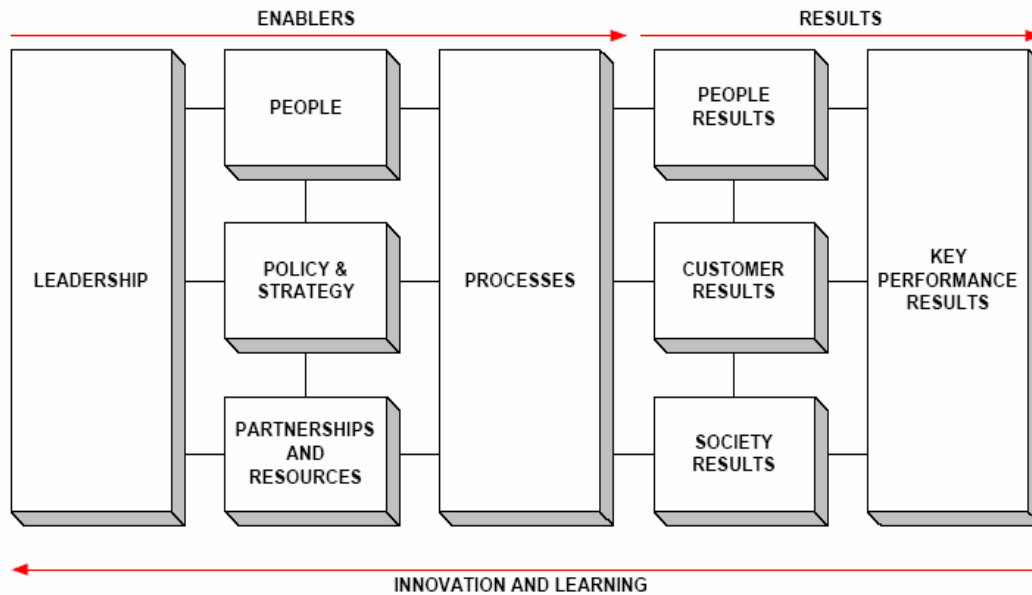
The EFQM model is divided into two parts: Enablers and Results. **Enablers** are policies and processes that drive the business and facilitate the transformation of inputs to outputs and outcomes. **Results** are the measure of the level of output and outcome attained by the organization.

The arrows emphasize the dynamic nature of the model. They show Innovation and Learning, helping to improve Enablers which in turn lead to improved Results. The full power of the model is derived from the relationship between the enabler criteria and the results criteria: excellent results with respect to performance, customers, people and society are achieved through leadership driven policy and strategy, people, partnerships and resources, and processes.

Furthermore, the five Enablers and four Results criteria are defined as:

Leadership: how leaders develop and facilitate the achievement of the mission and vision, develop values required for long-term success and implement these via appropriate actions and behaviors, and are personally involved in ensuring that the organization's management system is developed and implemented.

Policy and strategy: how the organization implements its mission and vision via a clear stakeholder-focused strategy, supported by relevant policies, plans, objectives, targets and processes.

People: how the organization manages, develops and releases the knowledge and full potential of its people at an individual, team-based and organization-wide level, and plans these activities in order to support its policy and strategy and the effective operation of its processes.

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Partnerships and resources: how the organization plans and manages its external partnerships and internal resources in order to support its policy and strategy and the effective operation of its processes.

Processes: how the organization designs, manages and improves its processes in order to support its policy and strategy and fully satisfy and generate increasing value for its customers and other stakeholders**.**

Customer results: what the organization is achieving in relation to its external customers.

People results: what the organization is achieving in relation to its people**.**

Society results: what the organization is achieving in relation to local, national and international society as appropriate.

Key performance results: what the organization is achieving in relation to its planned performance.

EFQM as an Evaluation Tool

The EFQM Excellence Model can be used for a number of evaluation activities. Examples include self-assessment, third-party assessment, benchmarking and as a basis for applying for the European Quality Award. In order to help with this, the EFQM provides the following two evaluation tools: the Pathfinder Card and the RADAR scoring matrix.

1. The purpose of Pathfinder is to assist in the identification of improvement opportunities through self-assessment and to help build improvement plans. It is a series of questions designed to be answered quickly and, in general, it reflects the RADAR logic.
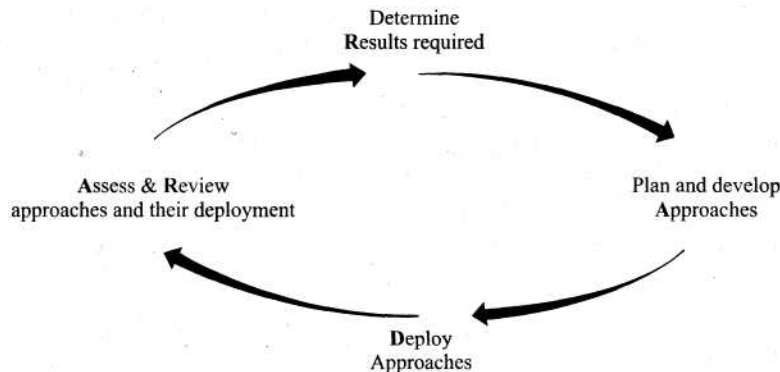
EFQM Excellence Model RADAR logic

This logic states that an organization needs to:
a. **Determine the Results** it is aiming for as part of its policy and strategy making process. These results cover the performance of the organization, both financially and operationally, and the perceptions of its stakeholders.

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b. **Plan and develop** an integrated set of sound **Approaches** to deliver the required results both now and in the future.
c. **Deploy** the approaches in a systematic way to ensure full implementation.
d. **Assess and Review** the approaches followed based on monitoring and analysis of the results achieved and ongoing learning activities. Based on this identify, prioritize, plan and implement improvements where needed.

2. The RADAR scoring matrix is the evaluation method used to score applications for the European Quality Award. When an organization is graded using the RADAR scoring matrix, weights are given to each of the nine criteria to calculate the number of points awarded.

Taking the **enabler** criteria first, the evaluation is based on three dimensions: Approach, Deployment of the approach, and Assessment and Review.

a. **Approach** is concerned with how the requirements of a particular examination item are met. Factors used to evaluate Approach include:
   - the appropriateness of the methods, tools and techniques;
   - the degree of integration, supporting policy and strategy and linked with other appropriate approaches;
   - the uniqueness or innovativeness of the approach;
   - the extent to which it is measurable.

b. **Deployment** refers to the extent to which the vision, methods and procedures have cascaded vertically and horizontally within the organization. Vertical deployment is a measure of the extent to which the key objectives have percolated down from top management to lower levels of the organization. Horizontal deployment is a measure of the extent to which functional areas other than operations have embraced the quality philosophy, tools, methods and procedures. It is also recommended to analyze whether it is understood and accepted by all stakeholders and is achieving the planned benefits.

c. The **Assessment and Review** dimension looks at the extent to which the approach embodies effective evaluation/improvement cycles, provides learning opportunities and is benchmarked with others.

Turning to the **results** criterion, the evaluation system will take into account, among others, the following aspects:
- the degree of coverage (similar to the deployment dimension of the enabler's criteria);
- the existence of positive trends and/or sustained good performance;
- comparisons with own targets;
- indications that negative trends are understood and re-understood and addressed;
- comparisons have been made with external organizations including 'best-in-class' organizations;
- the organization's ability to sustain its performance.

The Fundamental Concepts at different 'organizational' maturity stages

The table below allows conducting a simple evaluation, by answering the question, "where are we now in relation to the fundamental EFQM concepts?"

CONCEPT	START UP	ON THE WAY	MATURE
Results Orientation	All relevant stakeholders are identified	Stakeholder needs are assessed in a structured way	Transparent mechanisms exist to balance stakeholder expectations
Customer Focus	Customer satisfaction is assessed	Goals and targets are linked to customer needs and expectations. Loyalty issues are researched	Business drivers of customer satisfaction needs and loyalty issues are understood, measured and actioned
Leadership and Constancy of Purpose	Vision and Mission, are defined	Policy, People and Processes are aligned A leadership "Model" exists	Shared Values and Ethical role models exist at all organizational levels
Management by Processes and Facts	Processes to achieve desired results are defined	Comparative data and information is used to set challenging goals	Process capability is fully understood and used to drive performance improvements
People Development and Involvement	People accept ownership and responsibility to solve problems	People are innovative and creative in furthering organizational objectives	People are empowered to act and openly share knowledge and experience
Continuous Learning, Innovation and Improvement	Improvement opportunities are identified and acted on	Continuous improvement is an accepted objective for every individual	Successful innovation and improvement is widespread and integrated
Partnership Development	A process exists for selecting and managing suppliers	Supplier improvement and achievements are recognized and key external partners are identified	The organization and its key partners are interdependent. Plans and policies are co-developed on the basis of shared knowledge
Corporate Social Responsibility	Legal and regulatory requirements are understood and met	There is active involvement in 'society'	Societal expectations are measured and actioned

Source: European Foundation for Quality Management, *Excellent: Een handleiding voor de toepassing van het EFQM Excellence Model* (Blanden, Belgium: Comatech, 1999).

APPENDIX W

GENERIC BDF LEADERSHIP PROCESS MODEL

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APPENDIX X

GENERIC BDF LEADERSHIP MODEL AND CONTRIBUTING LEADERSHIP

THEORIES AND MODELS

Trait Contingency Theory

Traits
- Energy-level
- Stress tolerance
- Self-confidence
- Integrity
And/or
- Big 5 Personality

BE

Competencies

Leader traits & skills

QUINN

Skills
- Systems thinking
- Self-efficacy
- Self-monitoring
- Diagnostic
- Emotional Intelligence

EI

KNOW

Universal Competencies and Behavior (GLOBB Project)
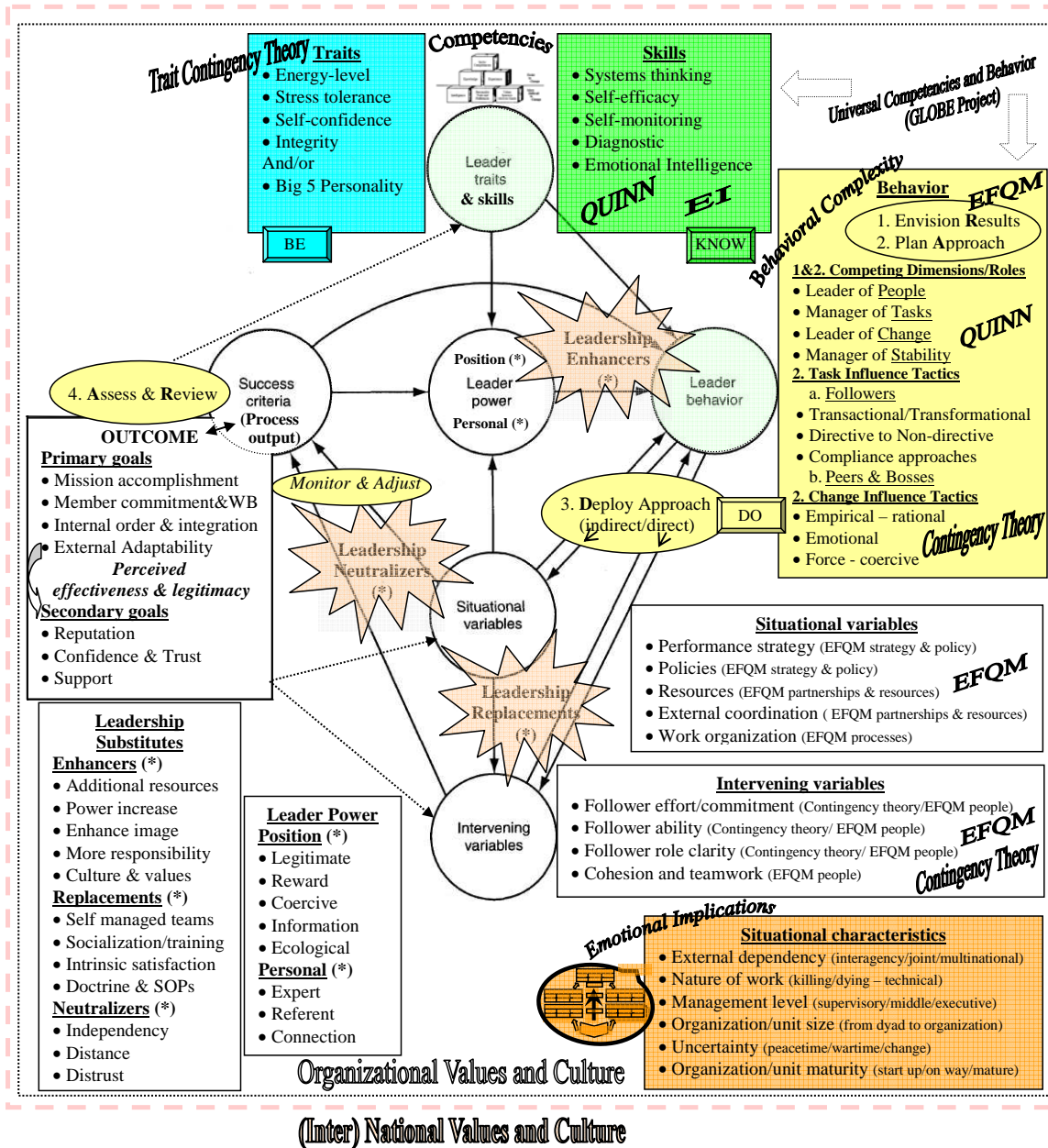
Behavioral Complexity

Behavior EFQM
1. Envision Results
2. Plan Approach

1&2. Competing Dimensions/Roles
- Leader of People
- Manager of Tasks
- Leader of Change
- Manager of Stability

QUINN

2. Task Influence Tactics
  a. Followers
- Transactional/Transformational
- Directive to Non-directive
- Compliance approaches
  b. Peers & Bosses

2. Change Influence Tactics
- Empirical – rational
- Emotional
- Force - coercive

Contingency Theory

Leadership Enhancers (*)

Position (*)
Leader power
Personal (*)

Leader behavior

4. **A**ssess & **R**eview

Success criteria (**Process output**)

Monitor & Adjust

3. **D**eploy Approach (indirect/direct)

DO

OUTCOME

Primary goals
- Mission accomplishment
- Member commitment&WB
- Internal order & integration
- External Adaptability
  Perceived effectiveness & legitimacy

Secondary goals
- Reputation
- Confidence & Trust
- Support

Leadership Neutralizers (*)

Situational variables

Leadership Replacements (*)

Situational variables
- Performance strategy (EFQM strategy & policy)
- Policies (EFQM strategy & policy)
- Resources (EFQM partnerships & resources)
- External coordination (EFQM partnerships & resources)
- Work organization (EFQM processes)

EFQM

Leadership Substitutes

Enhancers (*)
- Additional resources
- Power increase
- Enhance image
- More responsibility
- Culture & values

Replacements (*)
- Self managed teams
- Socialization/training
- Intrinsic satisfaction
- Doctrine & SOPs

Neutralizers (*)
- Independency
- Distance
- Distrust

Leader Power

Position (*)
- Legitimate
- Reward
- Coercive
- Information
- Ecological

Personal (*)
- Expert
- Referent
- Connection

Intervening variables

Intervening variables
- Follower effort/commitment (Contingency theory/EFQM people)
- Follower ability (Contingency theory/ EFQM people)
- Follower role clarity (Contingency theory/ EFQM people)
- Cohesion and teamwork (EFQM people)

EFQM

Contingency Theory

Emotional Implications

Situational characteristics
- External dependency (interagency/joint/multinational)
- Nature of work (killing/dying – technical)
- Management level (supervisory/middle/executive)
- Organization/unit size (from dyad to organization)
- Uncertainty (peacetime/wartime/change)
- Organization/unit maturity (start up/on way/mature)

Organizational Values and Culture

(Inter) National Values and Culture

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