EXECUTIVE SERIES

LEADERSHIP

ADDP 00.6

Edition 2

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Australian Defence Doctrine Publication (ADDP) 00.6—*Leadership*, edition 2 is issued for use by the Australian Defence Force and is effective forthwith. This publication supersedes ADDP 00.6, edition 1.

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PREFACE

1.   ADDPs and Australian Defence Force Publications (ADFPs) are authorised joint doctrine for the guidance of ADF operations. ADDPs are pitched at the philosophical and high-application level and ADFPs at the application and procedural level. Policy is prescriptive as represented by Defence Instructions, and has legal standing. Doctrine is not policy and does not have legal standing; however, it provides authoritative and proven guidance, which can be adapted to suit each unique situation.

2.   The content of this publication has been derived from general principles and doctrine contained in other relevant ADDPs, Defence Instructions and allied publications and agreements. Every opportunity should be taken by users of this publication to examine its contents, applicability and currency. If deficiencies or errors are found, amendment action should to be taken. The Joint Doctrine Directorate welcomes all feedback, to improve this publication.

3.   **Aim.** The aim of ADDP 00.6—*Leadership* guides the development of leaders in the ADF.

4.   **Level.** This publication is applicable to all ranks in the ADF and is useful for those wishing to broaden their understanding of leadership in joint and multinational environments.

5.   **Scope.** This publication provides philosophical and application level doctrine on leadership and describes the basic leadership tenets, principles, behaviours and considerations necessary for leadership in the ADF. This publication focuses on the two major functions of leadership - leading people and leading the organisation. Values-based leadership, the principles for leading people, the effects of leadership on ADF culture, leadership development and the role of leaders and followers are also examined in greater depth.

6.   ADDP 00.6, edition 2 contains a number of changes from edition 1. The significant changes are the addition of:

a.   material relating to contemporary issues, such as diversity and cultural change

b.   leadership lessons that have emerged from the ADF's involvement in warlike and non-warlike operations over the past decade

c.   addition of research into negative leadership and the greater effects this has within an organisation.

7.   Additional recommended reading is:

a.   *Pathway to Change: Evolving Defence Culture 2017-22*

b.   ADDP-D—*Foundations of Australian Military Doctrine*

c.   ADDP 00.1—*Command and Control*

d.   Australian Defence College*, The Chiefs: A Study of Strategic Leadership*

e.   The Royal Australian Navy, *Leadership Ethic*

f.   Land Warfare Doctrine (LWD) 0-0—*Command, Leadership and Management*

g.   LWD 0-2—*Leadership*

h.   The Royal Australian Air Force, *Leadership Companion*

i.   Canadian Forces Leadership Institute, *Leadership in the Canadian Forces: Conceptual Foundations*

j.   Singapore Armed Forces Centre for Leadership Development, *Spirit and System: Leadership Development for a Third Generation Singapore Armed Forces*

k.   United States (USA) Department of Army, US Army Field Manual 1—*The Army*

l.   USA Army Doctrine Publication 6-22—*Army Leadership*

m.   United Kingdom Ministry of Defence, *Soldier Management: A Guide for Commanders.*

AMENDMENTS

ADDP 00.6 is subject to periodic review and amendment. The latest electronic version of the publication, and all joint doctrine, is available on the Joint Doctrine Library via the Defence Protected Network, Defence Secret Network and ForceNet.

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CHAPTER 1

LEADERSHIP

Executive summary

- Defining leadership is difficult but necessary for doctrine. This publication provides an unambiguous mission-focussed definition.

- Leadership is both highly personal and contextual and should be understood from this perspective.

- Leaders who get the best results master multiple leadership styles, especially the authoritative, democratic, affiliative and coaching styles.

- There are two leadership functions in any organisation; leading people and leading the organisation.

- Command, leadership and management are different concepts that generate different behaviours.

- Leadership is a relationship involving followers that is affected by context and situation. Leaders inspire willing commitment.

- The leadership process is a means to an end.

- Negative leadership exists in all organisations and must be prevented.

> *Leadership is not just about our achievements in the past or of today. As leaders you all will have responsibility to build on our achievements and to continue improving our organisation into the future. This responsibility will only increase as you advance in seniority and rank.*
>
> **General David Hurley, AC, DSC**
> **Chief of the Defence Force, 2014**

INTRODUCTION

1.1   Leadership is by no means a uniquely military function and is on display in everyday life. Whether it is on the sporting field, or within an emergency response team taking control of a dangerous situation, individuals embark on everyday leadership challenges.

DEFINING LEADERSHIP

1.2   Leadership can mean different things to different people, which is due to leadership being both a highly personal experience and also contextual to the situation and environment. As a result of such personal perspectives in leadership, there are a range of definitions. One aspect leadership scholars can agree on is that there is not a common definition of leadership.

Australian Defence Force definition of leadership

1.3   While there are numerous definitions of leadership, and consensus on a single definition is difficult, the Australian Defence Force (ADF) has defined leadership in terms of the requirement to achieve missions; including what behaviours and values are regarded as important in achieving missions. Therefore, the ADF definition of leadership is as follows:

Definition

Leadership. The process of influencing others to gain their willing consent in the ethical pursuit of missions.

Other leadership definitions

1.4   Leadership is a subject that continues to occupy academics and practitioners alike and there are many books and articles that attempt to define and explain leadership. One reason for the plethora of leadership definitions is that the term itself is used in a variety of ways. Leadership is frequently defined as a virtue or a characteristic of a person. This is most often evident when leadership is defined as a capacity within an individual. Examples include the ability to inspire loyalty, respect and confidence or the capacity to identify and define organisational goals. Leadership definitions that focus on the characteristics or virtues of the leader, although popular with historians and those who subscribe to the trait theory, say little of the leadership situation or the role of followers.

1.5   Other leadership definitions include categories of behaviour, such as influencing people or directing, motivating and enabling others. Such definitions are popular with trainers and developers because they point to relevant leader competencies, but again these definitions tend to ignore the role of followers. Even more simplistic is defining leadership as an attribute of a position such as the leader or the officer in charge. Simply holding high office or a position of authority does not mean the office holder automatically displays leadership behaviour.

1.6   Most commonly, and particularly from a military perspective, leadership has been defined as a process. Leadership definitions also endeavour to acknowledge the complementary roles of both the leaders and the followers in this process. Nevertheless, these process or relationship definitions tend not to differentiate between leading people and leading organisations. Within organisations it becomes apparent that there are two different leadership functions, namely the function of leading people—or close leadership—and the function of leading the institution—or distant leadership.

1.7   Where more distant leader-follower relationships are considered, the focus is on the charisma and the supposed power of the leader in terms of the resources they control, including their ability to reward and punish. Whilst these distinctions in leader-follower distance can be attributed to merely physical distance, a variety of

dimensions have been identified in literature. Antonakis and Atwater propose a three factor structure: frequency of interaction; physical distance; and social distance. As a result, these authors suggest that 'the dynamics of the influencing process differ depending on how "close" or "distant" followers are from their leader'.[1]

1.8   Close leaders generally have, as the term implies, regular contact with their group. Examples of close leaders include teachers in the school environment and sub-unit commanders in the military environment. On the other hand, distant leaders do not have regular contact with those they wish to influence but rather project their ideas and vision through a variety of media. Examples of distant leaders include chief executive officers of large companies and the Chiefs within the ADF. One leadership function, however, does not exclude the other.

1.9   The variations in the way that the term leadership is used have complicated attempts to come up with a single, all-encompassing definition of leadership. Simple definitions are generally value-neutral and make no distinction about what might be effective or ineffective leadership. On the other hand, more complicated definitions tend to be context specific and overly prescriptive. Hence, the ADF definition of leadership—that leadership is 'the process of influencing others in order to gain their willing consent in the ethical pursuit of missions'—seeks to be unambiguous.

LEADERSHIP COMPONENTS

1.10   Despite numerous definitions of leadership, a series of components are common to most. Six of these components appear to be the essence of leadership and each is required before an individual can be deemed to be exercising a clear leadership function. The six essential components are as follows:

a.   **Influence.** Leadership is about someone influencing, motivating or inspiring others. Most commentators believe that influence in the leadership relationship is multi-directional and is not restrained by position. Some authors believe that these influence behaviours must be non-coercive.

b.   **Followers.** Other people aside from the leader are a necessary component of leadership. Some commentators also stress that followers have responsibilities and obligations to leaders. These commentators believe that responsible followers must exercise choice, in other words, a responsible follower will choose dissent when faced with leadership influence that the follower believes is unlawful or unethical.[2]

c.   **Goal.** Leadership also has something to do with a mutual goal, mission or vision. If there is no mutual goal, mission or vision then it is unlikely that a group will form or stay together. Nevertheless, the goal or mission may not be grand or visionary but may be as simple as to survive in the current environment, to co-exist as a group or to win a game of volleyball.

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[1]   J. Antonakis & L. Atwater, 'Leader Distance: A Review and a Proposed Theory', *The Leadership Quarterly*, Vol. 13 (2002), pp. 673–704, quote p. 674.

[2]   The term 'followership' is often used to describe the active role played by those being led within the leadership arrangement.

d.   **Purposeful action.** Leadership involves doing something or taking action towards the successful achievement of the group's goal. Although achievement is seen by some as the hallmark of leadership, other commentators believe it is the striving for achievement that is characteristic of leadership.

e.   **Consent.** Effective leadership also requires the consent of those being led; the followers. Consent suggests that there is a direct relationship between the leader and the followers, and as a consequence there are responsibilities on both within an effective leadership construct. In some circumstances the leader is expected to use pressure as required to achieve the goal. In other contexts, followers will resist force and coercion. Clearly this is a major issue within the military environment and is addressed further in Chapter 2.

f.   **Ethical dimension.** Related to follower willingness or conviction is the concept that leadership has a moral or ethical component. Followers see the difference between striving for a goal that they believe to be ethically sound and one that is ethically bankrupt. This distinction is made to differentiate between those leaders that are influential and visionary but morally corrupt and those that are equally influential and visionary but morally sound. The issue of ethical leadership is examined in some detail later in this chapter and further in Chapter 6.

Power, authority and influence

1.11   **Power**. The concept of influence appears central to leadership. Related to influence is the part played by power and authority. Power is normally defined as the capability of doing or affecting something but has been extended in management texts to mean the ability to change the behaviour, attitudes and beliefs of others. Common bases of power include:

a.   **Reward power.** Influence and control are exercised through the allocation of resources or rewards, generally for compliance or as an exchange. This type of power is only effective if individuals value the rewards being offered.

b.   **Coercive power.** Coercive power is generally concerned with punishment for non-compliance. Influence is gained through force. The threat of punishment can be a strong motivator to comply. It can be properly sanctioned, such as through the Defence Force Discipline Act, or not sanctioned such as through abuse of authority.

c.   **Legitimate power.** Legitimate power is power that is delegated to an appointed commander. It includes certain legal obligations and responsibilities. Influence is gained through the establishment of set rules and procedures.

d.   **Referent power.** Certain people have a quality about them that others like or are attracted to. This is often referred to as charisma. Influence is gained through persuasion and the individual's desire to identify with the qualities displayed by the individual with referent power.

e.   **Expert power.** Expert power is related to knowledge and skills. Individuals with expert power are able to influence others because of their competency in a particular field or area. In highly technical or specialist areas,

subordinates may possess more expert power than their superiors. Again, influence is gained through rules and procedures.

f.   **Informational power.** People may be able to influence others, because they possess some information that is needed to achieve a certain outcome. Often it may be used together with expert power.[3]

1.12   Research has consistently found that referent and expert power (also referred to as inspirational appeal and rational persuasion) are most effective for influencing task commitment. Conversely, legitimate and coercive power (enforced compliance and punishment for inappropriate behaviour) are least effective because over time, they diminish the ability of others to improve themselves. If leadership is about inspiring willing commitment, then coercive power is generally less useful than other forms of power.

1.13   **Authority**. Authority defined in the Macquarie Dictionary is 'the right to determine, adjudicate, or otherwise settle issues or disputes; the right to control, command, or determine'. Legitimate authority, such as that given to an appointed commander or manager, includes certain obligations and responsibilities that are supported by established rules and procedures. The commander or manager has the legitimate authority to enforce compliance with established rules and procedures through the threat of punishment. Although sanctioned and at times completely appropriate, the use of such legitimate authority is not an example of leadership but rather an example of command or management.

1.14   At least one author has noted:

> Confusion between leadership and official authority has a deadly effect on large organisations. Corporations and government agencies everywhere have executives who imagine that their place on the organisation chart has given them a body of followers. And of course it has not. They have been given subordinates. Whether the subordinates become followers depends on whether the executives act like leaders.[4]

This issue is revisited in Chapter 2.

1.15   **Influence**. The influence referred to in the leadership process is enabled by a psychological connection between the leader and follower. Followers commit to do what leaders require of them not necessarily because of formal authority but because of trust and belief. Two people can have identical formal authority and power and yet one is able to achieve so much more than the other. The difference between the two arises from the ability of one to engender a real sense of collective ownership of the task at hand and for the followers to assume personal responsibility for the outcomes required. Effective leadership should, therefore, rely on influence more than the simple exercise of than authority or the various forms of power.

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[3].   Australian Army, Land Warfare Doctrine 0-0—*Command, Leadership and Management*, 2008, p. 3A-5, 3A-6

[4]   John W. Gardner, *On Leadership* (New York: Free Press, 1993), p. 3.

LEADERSHIP VERSUS MANAGEMENT

> *There is a difference between leadership and management. The leader and his men who follow him represent one of the oldest, most natural and most effective of all human relationships. The manager and those he manages are a later product, with neither so romantic nor so inspiring a history. Leadership is of the spirit, compounded of personality and vision: its practice is an art. Management is of the mind, more a matter of accurate calculation, of statistics, of methods, timetables and routines; its practice is a science. Managers are necessary; leaders are essential.*
>
> **Field Marshal Sir William Slim, 1st Viscount Slim,**
> **KG, GCB, GCMG, GCVO, GBE, DSO, MC, KStJ**
> **Governor General of Australia, 1953–60**

1.16   There are common themes in the literature on leadership and management. Leadership, as indicated previously, is an influencing process that energises followers; while management is a control process aimed at bringing coordination and efficiency to people and organisations. There has been an ongoing, albeit simplistic, argument about the difference between leaders and managers where it is implied that managers merely enforce existing practices and procedures, while leaders are visionaries who guide their organisations to a better future. In reality, members of large organisations perform both management and leadership functions, and both are equally as important. The mix of leadership and management required is context driven, depending on the organisational requirements at the time.

1.17   **Management defined**. Management is 'the process of planning, organising, directing and controlling organisational resources in the pursuit of organisational goals'.[5] In this definition, no mention is made of purposeful influence or the willingness of followers. People are seen as resources to be organised, directed and controlled. Management is also based on formal organisational authority and entails responsibility for a broad range of functions that have traditionally included planning, problem solving, decision-making, organising, informing, directing, allocating resources and controlling. Some definitions of management also include the function of leading while some definitions of leadership include the activities of directing and controlling. Table 1.1 offers a comparison of leadership and management.

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[5].   For further information about management see: Australian Defence Doctrine Publication (ADDP) 00.1—*Command and Control*.

Table 1.1: Comparison of leadership and management[6]

Leadership	Management
Developing and communicating the vision	Planning and budgeting, business planning, allocating forces and resources
Motivating (inspiring)	Organising and staffing
Influencing change in people, organisations	Controlling and problem solving
Setting an example, acting as a role model	Producing goods, providing services
Engendering faith, trust, respect	Supervising
Followers identifying with leader	Decision-making
Inspiring individuals to perform beyond their expectations	Monitoring activities
	Coordinating
	Administrating
	Controlling

KEY LEADERSHIP CONSIDERATIONS

1.18   The previous discussion considers leadership as a process. Much more has been written on the factors that impact upon the leadership process, which includes the leadership function, situation, culture, traits of leaders and followers, values, behaviours, competencies and style. The more important of these factors are discussed below under the general headings of 'leadership outcomes', 'leadership context', 'the leader' and 'the follower'. The relationship between these factors is shown in Figure 1.1.

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[6].   Adapted from: Peter Bradley, 'Distinguishing the Concepts of Command Leadership and Management' in: Bernd Horn & Stephen J. Harris (eds.) *Generalship and the Art of the Admiral: Perspectives on Canadian Senior Military Leadership* (St. Catherines, ON: Vanwell, 2001), pp. 105–120.

Figure 1.1: Key leadership considerations
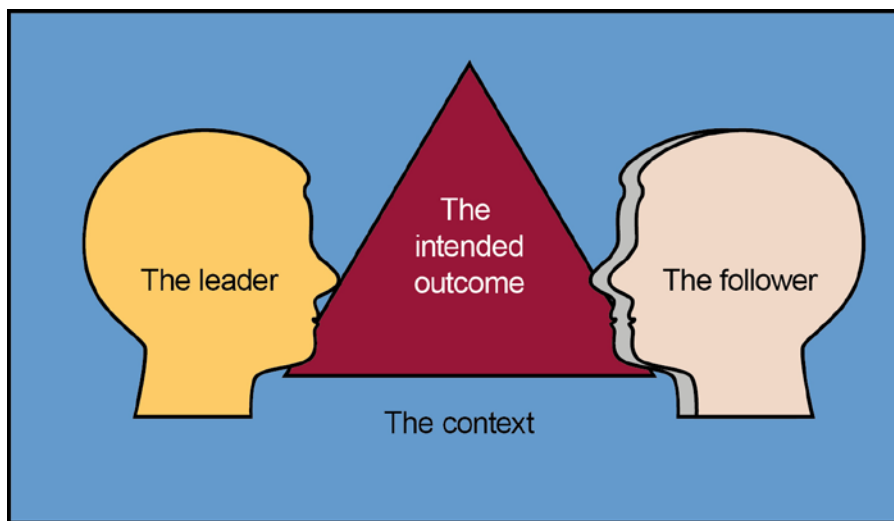
Leadership outcomes

1.19   Leadership is a means to an end. Effective leadership facilitates change—change from where the group or team is (the current state) to where the group or team wants to go (the end state). If there is no goal, objective or vision then there is nothing to move towards and therefore the requirement for leadership is significantly reduced. Care should be taken, however, not to confuse change (in this instance the activities associated with change) with leadership. Merely initiating change is not, in itself, a sign of leadership. To have a positive effect on an organisation, implementing change must be undertaken with, as the leadership definition suggests, the willing consent of those being led. In simple terms, effective change requires equally effective leadership. The considerations that fall under this heading include the leadership function, values-based leadership and the ethical leadership.

1.20   **Leadership function**. Leadership is about relationships and achieving something that would normally be beyond the individual. These three aspects of the leadership function, the team, the individual and the task, are often cited as the most important leadership considerations, and form the basis of what is known as the functional leadership model, which is shown in Figure 1.2. The relationship between the three aspects is constant. This is reflected in the notion that in an effective leadership arrangement, decisions are usually shared by the group, even when the decision is made by one person.

Figure 1.2: Functional leadership model
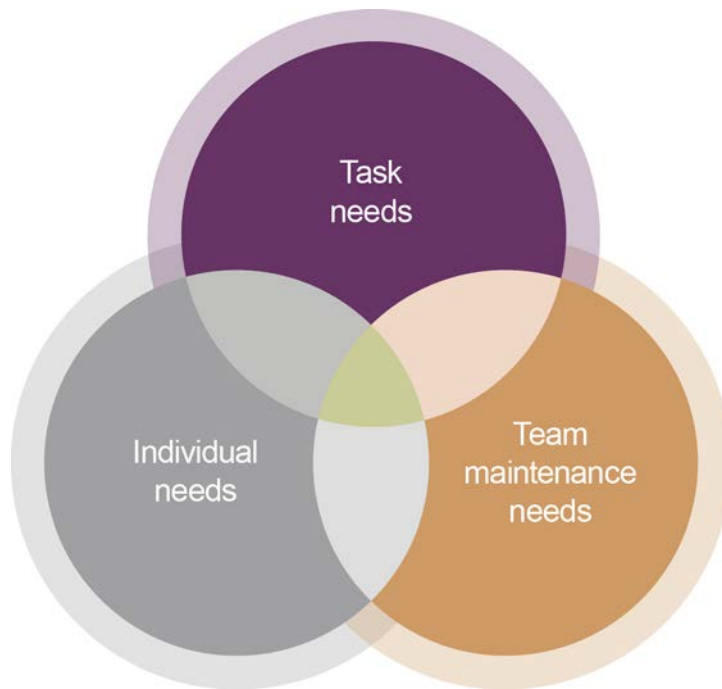
1.21   **Values-based leadership**. While the behaviour of a group may be governed by external rules, it is guided by internal group values. The advantage of values over rules in guiding the group is the adaptability they provide in ambiguous situations. In such circumstances, values-based leadership enables members to be guided in their decisions and actions by their agreed values. These values should also reflect the individual values of the group members.

1.22   Values-based leadership, therefore, is where the behaviour of the leader reflects both the values of the group and their own personal values. It does not, however, automatically follow that leadership outcomes are universally good. Values-based leadership as a concept can apply equally to a criminal organisation or to a hospital. The difference in how outcomes are achieved within these two groups comes down to the values that form the basis of their leadership. Both groups could well share the values of courage, teamwork and initiative, but may not be in accord on the value of human life.

1.23   **Ethical leadership**. The use of the term 'values-based leadership' implies the consideration of ethics, or what one ought to do, in the leadership process. The quality and substance of the group values (the ethics) that underpin the leadership function determines the nobility of the outcome. Some authors have referred to the difference in these two concepts as the difference between positive and negative leadership.

1.24   Positive leadership is generally characterised by socially accepted values such as integrity, honesty and humility. Conversely, negative leadership is characterised by self-centred and personalised values such as elitism, individualism and cunning. This positive/negative concept has previously been referred to as the moral or ethical component of leadership and is examined in detail in Chapter 5.

> *[F]or the Navy to contribute to the defence of Australia and its national interests it is necessary not only to maintain an operationally capable force but also an ethically dependable force:* one which abides both by the letter and by the spirit of the laws of armed conflict. *For the Navy to be ethically dependable in this way, it must be ethically led at all levels.*
>
> ***RAN Leadership Ethic,*** **2010**

Leadership context

1.25   Different situations call for different leader and follower behaviour. A single leadership approach will not serve all individuals. The context in which leadership is exercised includes the situation, culture and organisational values.

1.26   **Situation**. Leadership is a contextual phenomenon. The particular time, place or situation that a group or leader finds itself in is a key determinate of who and how someone leads. Context can include the environment, the prevailing culture, the follower's abilities and attitudes, and the nature of any problem encountered. History shows that some leaders who were very effective in wartime were markedly less effective in peacetime.

1.27   **Culture**. Allied to context but far more pervasive and harder to change is the culture of a group or organisation. Derived from beliefs, traditions, assumptions and values, an organisation's culture determines who leads and what leadership styles and behaviours are acceptable. Leaders should understand and appreciate the culture that exists within the organisation.

1.28   An organisation's culture should be an accurate reflection of the espoused values of that organisation. As a rule, members do not join (or remain in) organisations where the culture runs counter to their personal values and beliefs. Circumstances may arise, however, where organisational values and culture are not as closely aligned as they should be. In such cases, strategic level leaders may, and indeed should, endeavour to implement programs focused on aligning the two.

1.29   **Organisational values**. Organisations identify values that they believe lead to behaviours that benefit their purpose or aspirations. They see values such as integrity and honesty as important because they guide behaviour to a desirable end state. Values are not seen as a replacement for rules; rather they act alongside them as correct-path beacons in ambiguous situations where the strict application of rules is not obvious.

1.30   Much has been written about organisational values and the importance of alignment between an individual's values and those of the organisation. This recognises than individual values may not align with those of the organisation, but the individual may still behave in a manner that accords with the organisational values. This can affect leadership in two ways. Firstly, a leaders or follower who espouses organisational values and then is seen to operate by a different (or opposing) set of values undermines their credibility and any trust others have in them. Secondly, all leaders within an organisation should ensure the behaviour of members aligns with the organisational values.

The leader

1.31   There has traditionally been a strong focus on the attributes, qualities and capabilities of the leader. As such, there are many considerations that relate to the make-up of the leader. These considerations include the leader's character, competence, values, trustworthiness, motivation to lead and leadership style.

1.32   **Character**. The behaviour of leaders is closely observed by their followers, as it directly affects the relationships that exist between them. A number of organisational studies have indicated that a worker's immediate supervisor has more influence on that worker than any other person. Appropriate leader behaviour engenders trust and credibility in the eyes of followers. Accordingly, an individual's character and competence affects their ability to lead others.

1.33   A leader's character, which encompasses their social capacity, interpersonal skills, personal integrity, conscientiousness and self-assurance, certainly affects the extent to which they can gain the willing support of their followers. Many of these social awareness character traits are combined in what is now being called emotional intelligence (see Annex 1A). Much has also been written on leadership traits such as self-confidence; and intelligence and adaptability (see Annex 1B). Importantly, an outcome of how followers perceive a leader in terms of these characteristics is the leader's trustworthiness.

1.34   Trust in leadership is positively related to individual and group performance, persistence in the face of adversity and the ability to withstand stress. A climate of trust between leaders and the led is also positively related to such qualities as conscientiousness, fair play and cooperation. Whether trust is based mainly on demonstrated leader competence, the care and consideration for others displayed by the leader, or on perceptions of a leader's character (integrity, dependability and fairness), the evidence supporting this common understanding is compelling and robust.

HISTORICAL EXAMPLE

A LEADER'S CHARACTER

During the New Guinea campaigns, where camp sites were rough and facilities invariably rudimentary, Group Captain Frederick Scherger (later Air Chief Marshal Sir Fredrick) moved among his troops with an easy camaraderie, often working stripped to the waist or wearing a bush shirt that carried no rank badges. Concern for the welfare of his men was always paramount, but while he was particularly mindful of the physical and psychological problems of flying personnel, he was a martinet when it came to pilots, trainee or otherwise, who needlessly stressed aircraft in unnecessary flight manoeuvres. A savage dressing down by Scherger, brutally stressing that trainees were available in endless numbers while machines were in short supply, remained a vivid memory for some very senior Australian Airmen, even several decades later.

1.35   **Competence.** A leader's competence, on the other hand, includes professional mastery, cognitive ability, problem solving, decision-making and

communication skills. A leader's perceived and demonstrated competence has a direct bearing on their credibility as viewed by followers.

1.36   In a practical sense, leaders employ a variety of styles according to the situation in which they find themselves. In an office environment, a supportive style that considers the needs of employees is likely to be more effective than a directive style. Conversely, in a time-critical or ambiguous situation, a directive style that clarifies the path ahead is more likely to motivate confused onlookers than a participative approach. Ideally, the influence behaviours that make up a certain leadership style should be consistent with the concept of leadership.

1.37   Individuals must first develop themselves before they seek the responsibility to lead others. Those who spend time developing professional mastery are at the same time laying the foundations for credibility. Individuals who spend time developing their integrity are at the same time laying the foundation for trust.

1.38   **Values.** Values are beliefs about what is considered important in life. Values guide thoughts, decisions, behaviours and interactions. As a result, an individual's decisions, behaviour and interactions are interpreted by others as reflecting the values of that individual. This is an important consideration for those who wish to influence others. For those who seek to lead in the ADF, it is expected that their decisions, behaviour and interactions accord with ADF values: ADF leaders should live the ADF values. These values are examined further in Chapter 3.

1.39   The Government's use of the ADF should also reflect community values with respect to the need for Australia, where it can, to seek to resist international aggression, relieve human suffering, promote justice and freedom internationally, and protect our borders. A military force is therefore not simply an instrument of state power; it is also a reflection of the society from which it is drawn. Accordingly, the legitimacy of the ADF requires that it embody the same values and beliefs as the Australian society that it defends.

Figure 1.3: Living Australian Defence Force values increases your capacity to influence as a leader

1.40   **Motivation to lead**. Potential leaders must be motivated to lead. They have to want, or accept the necessity, to lead in order to turn any leadership potential that they may have into reality. This desire should be balanced with the realisation that with leadership comes additional responsibilities, increased accountability and the likelihood of being constantly challenged and tested. Although assigned a leadership position with associated authority, an individual's effectiveness as a leader is diminished if they lack the motivation to lead.

1.41   **Leadership style**. Leadership style is defined as a combination of a leader's personality, character and behaviour in influencing and decision-making. Research which has drawn on a random sample of thousands of executives has identified six leadership styles, described in detail in Annex 1C:

a.   coercive—the leader demands immediate compliance

b.   authoritative—the leader mobilises people toward a vision

c.   affiliative—the leader creates harmony and builds emotional bonds

d.   democratic—the leader forges consensus through participation

e.   pacesetting—the leader sets high standards of performance

f.   coaching—the leader develops people for the future.

1.42   Research indicates that leaders who get the best results are those who have mastered four or more, especially the authoritative, democratic, affiliative and

coaching styles. Effective leaders don't just mechanically match their style to fit a checklist of situations, they are far more fluid. They are sensitive to the impact they are having on others and seamlessly adjust their style to get the best results. Few leaders have all six styles and it is important for all leaders to strive to expand their repertoire.

1.43   Although appropriate in some social settings, a *laissez faire* style that accepts a complete absence of control is unlikely to provide purposeful influence. Equally, a total control authoritarian style, even though appropriate in some situations, is unlikely to generate willing commitment from followers.

1.44   Leadership style has a direct bearing on what has become known as the *transactional–transformational* range of leadership. Transactional leadership is an exchange relationship where a subordinate performs tasks assigned by a superior in return for rewards such as pay and promotion. Transactional leaders are not necessarily concerned with subordinate needs and development—and for these reason some authors see the transactional style as management rather than leadership. Leaders may be required to modify their behaviour to satisfy the needs of followers—in other words, followers can shape leader behaviour. In simple terms, followers also influence leaders in a leadership relationship.

1.45   Transformational leaders motivate followers by engaging them with a compelling vision that encourages a progression beyond personal interests for the good of the unit. Transformational leadership is said to be characterised by charisma, intellectual stimulation, inspirational motivation and individualised consideration (Bass, 1998). More recent examination of the transformational–transactional dichotomy indicates that both have their place in any organisation and that favouring one exclusively creates imbalance. Organisations do need leaders with vision, but they also need leaders and managers who finish the task at hand.

1.46   **Leadership groups**. An interesting phenomenon to emerge in recent years, particularly in sporting teams and some specialist business environments, is the concept of 'leadership groups'. A small number from within the team are appointed, or selected by their peers, as a leadership group, and exercise a collective influence over the rest of the team. The collective strengths of these individuals are seen to be of utility in imposing and maintaining the desired values and behaviours that enable the team to achieve positive results. In most cases, one individual from that leadership group acts as the final arbiter on issues affecting the team (the 'captain'), and serves as the link with higher management. It is clear that such an approach has its limitations within an organisational structure such as Defence, but it does offer some benefits to other groups and organisations.

The follower

1.47   Whilst there are many thousands of books on leadership there are very few on the subject of 'followership'. Traditionally studies on leadership have focused almost solely on leader attributes and leader behaviours. Nevertheless, leadership is a relationship that cannot exist without followers: 'Because both leaders and

followers are part of the leadership process, it is important to address issues that confront followers as well as issues that confront leaders. Leaders and followers should be understood in relation to each other'.[7]

1.48   Followership is not a passive activity. Followers have responsibilities and obligations to their organisation and to their leader. Responsible followers must exercise judgement to ensure that they follow ethical leadership and are not led astray by unethical or ineffective leaders. Responsible followers shape leader behaviour, provide feedback on leader and group performance, and give or withhold consent when faced with difficult group decisions.

Figure 1.4: The follower has an essential role in shaping leader behaviour

1.49   **Shaping leader behaviour**. The personality and character of followers (be they lazy, competent, experienced mature, etc) influences the style that the leader needs to adopt (directive, coaching, delegating, etc). The relationship between leaders and followers in organisations effect job satisfaction, organisational performance and turnover. Where followers perceive unfair treatment by the organisation and its leaders, they push for an adjustment. Follower satisfaction with the leader is influenced by their perception of justice. To maintain group cohesion, it is important for leaders to enable followers to voice their concerns and respond in a

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[7].   Peter G. Northouse, *Leadership; Theory and Practice* 6th ed. (USA: Sage Publishers, 2013), p. 15.

manner that balances the needs of the group and organisation with those of the individual.

1.50   Followers pressure the leader for adjustment if they feel that the exchange is unfair or unbalanced. Follower satisfaction with the leader is influenced by their perception of justice. Leaders are therefore required to make appropriate adjustments to their behaviour to achieve group cohesion.

> *Effective leaders create a culture which is truly diverse and inclusive … The real risk of a leader behaving in any way contrary to this approach is that they will eventually find themselves isolated from their followers.*
>
> **RAAF Leadership Companion, 2013**

1.51   **Follower feedback**. Responsible followers give feedback on a leader's actions and decisions. A responsible follower chooses dissent when faced with leadership influence that the follower believes is unlawful, unsafe, oppressive or counter to the goals of the organisation. A confident leader accepts challenges to their decisions and does not see dissent as an attack on his or her character but rather uses the dissent as an opportunity to re-evaluate any actions taken.

1.52   **Consent**. Leaving aside the title 'leader' as a designator of a formal position, a person cannot become the leader of another unless the other accepts that relationship. It is obvious that a supervisor at work or a chief executive officer can move individuals in a particular direction, but they do not truly lead until they have achieved the acceptance of those individuals. When individuals or members of groups give unthinking or unwilling consent, they may be contributing to the demise of their organisation. There are many examples in history where such unthinking consent has resulted in disaster.

HISTORICAL EXAMPLE

IRRESPONSIBLE CONSENT

Vice Admiral Sir George Tryon's actions on 22 June 1893 caused the loss of his own flagship, HMS *Victoria*, after he insisted that the fleet, then split into two columns, turn towards each other in insufficient space. Despite being warned by several subordinates that the operation was impossible, Tryon insisted on its execution and 358 sailors were drowned—including Tryon. At the subsequent court martial of Rear Admiral Markham, who was on HMS *Camperdown,* which rammed the Victoria, he was asked, if he knew Tryon's action was wrong then why did he comply? 'I thought' responded Markham, 'Admiral Tryon must have some trick up his sleeve'.

NEGATIVE LEADERSHIP

1.53   Most of the literature about leadership understandably focuses on positive leader behaviour that is both inspirational and effective. Indeed, most ADF leadership doctrine is about positive leadership. However, there is now considerable evidence that negative leadership has a stronger effect on individuals, teams and organisations and may be a greater risk to military performance than the absence of

positive leadership[8] [9]. Consequently, the military has much to gain from a deeper understanding of negative leadership and how to prevent it.

1.54   While it has been argued that negative leadership is not, by definition, a form of leadership, it would be unwise to ignore the topic on this basis. Negative leadership occurs when otherwise capable and competent people misuse their authority to achieve outcomes at the expense of their subordinates and/or their organisations. The reasons for choosing a negative style of leadership can be personal or a reaction to a problematic dynamic between the individual, organisational demands, superiors and their subordinates. In other words, negative leadership can be just as context driven as positive leadership.

1.55   In the past, negative leadership was often referred to as 'toxic leadership', which largely focussed on a particularly narcissistic, ego driven style of leader. Toxic leader behaviour has a significantly detrimental effect on people and, in the long run, on the success of organisations. However, not all negative leadership, nor all negative leaders, fit this mould. As research into negative leadership has advanced it is now clear the toxic leader may represent a sub-set of a broader pattern of negative leadership.

Defining negative leadership

1.56   Negative leadership is broadly defined as any behaviour that undermines the interests, values or intent of an organisation or damages the wellbeing, motivation or faith of followers or both.[10] Some negative leaders put organisational goals at risk by refusing to exert authority because they prioritise friendship and image over enforcing compliance to rules and procedures. Other negative leaders adopt a tyrannical and uncaring attitude towards subordinates, setting unrealistic and even unsafe goals without concern for the welfare of their people. A further subset of negative leaders appears to have only their own interests at heart with no apparent concern for their organisation or their followers. In each case, the effect of the negative leader can be deeply felt and difficult to remedy.

1.57   It is important to note that a strong task focus is not always an indicator of negative leadership. There are times when military leaders legitimately prioritise task achievement ahead of individual welfare. Nowhere is this more apparent than in the training for and conduct of combat operations. However, to face the risks associated with warfare with confidence, followers must have faith that their leaders genuinely care about their welfare and only make high-risk choices through necessity. This reflects the social contract between the willing follower and the ethical leader. Negative leadership is particularly damaging to military effectiveness because it undermines the confidence of followers and diminishes the integrity of the organisation. As negative leaders tend to be self-serving by definition, their influence is almost always counter-productive to capability and long-term military success.

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[8]. Roy F. Baumeister, Ellen Bratslavsky, Catrin Finkenauer and Kathleen, D. Vohs. 'Bad is Stronger than Good'. *Review of General Psychology*, 5(4), 2001: pp323–370.

[9]. Bennett J. Tepper. Consequences of Abusive Supervision. *Academy of Management Journal*, 43/2, (2000): 178–190.

[10]. Ståle Einarsen, Merethe Schanke Aasland and Anders Skogstad, 'Destructive Leadership Behaviour: A Definition and Conceptual Model'. *The Leadership Quarterly*, no.18, (2007): pp 207–216.

Negative leader types

1.58   **Organisation over people.** Leaders who give priority to their organisations, platforms or tasks to the *detriment* of their people can sometimes be rewarded by superiors for achieving results over and above those achieved by others. However, in the longer term, by putting the wellbeing, mental/physical health and/or safety of their subordinates at risk, such leaders extinguish subordinate goodwill, drive down performance and even risk organisational ruin. Not all such leaders are tyrants, sociopaths or narcissists, but their preoccupation with achieving organisational demands without prioritising the welfare of their people can damage the organisation.

1.59   **People over organisation.** Leaders who prioritise their relationships with subordinates over the legitimate responsibilities of their role as leaders comprise a different type of negative leader. In this case, rather than correcting negative subordinate behaviour and upholding the values and standards of their organisation, such leaders may turn a blind eye to breaches of the rules or even become negative role models themselves. While such an approach could be driven by a desire to remain on good terms with subordinates, it is also possible such leaders disagree with the values of their organisation and behave in a way that is *conscientiously non-compliant*. When leaders stop being examples of the positive values of the military, and/or operate in collusion with rogue subordinates, there is always the risk of a major breakdown in military discipline.

Neither people nor organisation: the derailed leader

1.60   The derailed leader can appear in a range of forms and sometimes may even have started out as a 'rising star'. Unfortunately, some individuals lack the deeper personal values that protect them from the potentially corrupting influence of power.

1.61   The most damaging derailed leader is the toxic leader. These people become driven by a desire for personal gain and reward. In their need for success they ingratiate themselves with their superiors, take credit for the achievements of others, bully and intimidate their subordinates and look for every opportunity for personal glorification.[11] They are generally menacingly competitive, aggressive towards those who disagree with them and capable of treachery to get themselves ahead. Sometimes a personality disorder such as narcissism or sociopathy underlies this behaviour, and can be reflected in interpersonal problems in other areas of the individual's life. Once an individual has lost the ability to control the desire for power, they can generate significant organisational disruption amongst those who work for and with them.

1.62   Another form of derailed leader is the *laissez faire* leader. These leaders tend to distance themselves from taking control or making decisions, leaving this responsibility in the hands of subordinates. At the extreme, this can be seen as simply place-sitting in a leadership position and is not actually leadership at all. Lesser types of derailed leaders are those who avoid difficult leadership responsibilities such as making contentious decisions, disciplining subordinates, enforcing standards, asserting authority in a crisis or setting a positive example.

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[11].   COL John E. Box. 'Toxic Leadership in the Military Profession'. United States Army War College Strategy Research Paper, 2012.

Wherever a leader appears to be detached from the responsibilities of their position there is a reasonable chance they have become derailed.

The normalisation of deviance

1.63   While negative leadership generally arises because of the flawed values or priorities of individuals and/or the unique pressures of the context, such behaviour can also occur when the norms and values of the organisation have slipped into negative or unethical territory.[12] Known as the normalisation of deviance, this process occurs slowly and is therefore not obvious to those with the power to prevent it. As relatively benign behaviour gradually evolves into more dangerous or high-risk activities, bystanders unwittingly collude with the process because they are led to believe it is harmless and 'normal'.

The unethical leader

1.64   Underlying the different ways negative leadership is represented in the military is a failure of personal ethics. Knowing the difference between right and wrong in a specific situation requires considerable ethical wisdom. Ethical wisdom can never be assumed; organisational values and ethics need to be continuously modelled and reinforced.

1.65   The truly unethical leader is the person who knows something is ethically wrong but goes ahead with a negative decision anyway. Such decisions take followers down a dark path and risk their engagement in acts that violate their own personal ethical values and those of the organisation. To demand such a compromise from one's own people, without just cause, fits the criterion of an unethical act.

Summary

1.66   When leaders use their authority or influence in such a way that risks the integrity of the organisation, the welfare of their people or appears to be predominately self-serving, they have become negative leaders. While negative leader behaviour generally reflects flaws in the values or personality of the individual it is clear that situational factors can also increase the risk of a leader following a negative path. The consequences of such behaviour can be significant within organisations, but even more so within a military context where personal sacrifice is often a requirement of service.

LEADERSHIP THEORIES AND MODELS

1.67   Leadership theories emerging in the post–World War I period focussed on the leader's possession of necessary personal qualities. This approach assumed that leaders shared some common list of traits that could be identified and conveyed, through training or development, to others. Following World War II, the emphasis shifted from inner qualities to observable behaviours. Leaders were then thought to

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[12].   Jan Schilling, 'From Ineffectiveness to Destruction: A Qualitative Study on the Meaning of Negative Leadership'. *Leadership*, No. 5, 2009: pp 102–128.

share common ways of saying and doing things, and that these could also be identified and passed on.

1.68   By the 1960s, the emphasis shifted to more complex theories that involved greater flexibility and movement between behaviours of leaders, to accord with changes in situation. More recently, theories have been proposed that are based on the effectiveness of reward, or quasi-economic, transactions between the leader and followers and the more charismatic approach in which the leader recognises and fulfils the higher order needs of followers.

1.69   The utility of leadership models is in explaining leadership theory and practice. Leadership models are used to explain and simplify many of the leadership considerations outlined above; however, they do not answer the question 'how do I lead' because of the contextual and personal nature of leadership experience. Leadership theories and models used by the ADF are outlined in Chapter 6.

1.70   The ADF recognises the importance of the leader-follower relationship. For that reason it emphasises the need for willing consent to be gained as an important part of our definition of leadership. The hierarchical nature of the organisation, and the importance placed on enforcing discipline and following orders, leads to a blurring of the line between what constitutes leadership and the more straightforward exercise of command authority. The seemingly clear theoretical distinction between the two proves to be less obvious when considered within a context of missions or tasks being undertaken in demanding operational situations.

1.71   Leadership is a relationship between leaders and followers that involves trust, depends on the situation and is enhanced by having a shared set of values. It is also apparent that negative leadership can have an adverse effect on the relationship between leaders and subordinates and can result in organisational decline and an inability to achieve tasks. Although certain behaviours are expected from both leaders and followers, there is no single preferred leadership style or example of a leader who excels in all circumstances.

Annexes:
1A   Emotional intelligence
1B   Traits and leadership potential
1C   Leadership styles

<div align="right">**ANNEX 1A**</div>

EMOTIONAL INTELLIGENCE

1.　　The leadership ability of an individual is influenced by, or results from, a range of factors. One factor which has received increasing consideration is the leader's ability to know themselves and to understand others. This factor is commonly summarised as referring to an individual's 'emotional intelligence'. Unfortunately this term has been used to embrace a range of other models and concepts, and it is therefore necessary to explain how it is interpreted in this publication.

2.　　The focus of emotional intelligence is on the emotional and social competencies that support the construct of understanding self and others. Accordingly, four fundamental competencies are considered as follows:

a.　　**Self-awareness.** Knowing one's internal states, preferences and intuitions. Importantly it is recognising one's emotional state and the impact it has on own behaviour, including decision-making.

b.　　**Self-regulation.** Managing one's internal states, preferences and intuitions. While recognising the impact of one's emotions on behaviour is fundamental, it is the use of this information to regulate the external response to minimise negative effect that is beneficial. The regulation of the internal response may be desirable for the long-term well-being of the individual but generally requires a longer timeframe to achieve.

c.　　**Social awareness.** Recognising the emotional states of others and the impact on the individual and the team. This includes an appreciation that emotions can be 'contagious' and, through their impact on morale, may undermine or enhance a team's success.

d.　　**Relationship management.** Managing the emotional state of the team to generate the optimal outcomes for the team and the organisation. The information about the team dynamics that is provided through social awareness provides the opportunity to shape, mitigate and respond to the emotional states of individuals for the benefit of the team.

3.　　Development in these four competences may assist an individual in a leadership role, whether it is in a small team, a unit or the organisation. These ideas are further explored in Chapters 3 and 4.

ANNEX 1B

TRAITS AND LEADERSHIP POTENTIAL

1.   The theory of trait leadership developed from early research into leadership which focused on finding a group of innate or 'inbred' attributes that differentiated leaders from non-leaders. The theory suggests that leadership ability is inherent in a select number of individuals and that the traits they possess cannot be easily developed in others. While research has demonstrated that successful leaders differ from other people and possess certain core personality traits, trait theory has generally proved to be a poor indicator of leadership ability as it fails to take into account other important factors. These other factors include leader motivation and development, the role of followers and the leadership situation.

2.   Nevertheless, certain psychological traits or capabilities are common in successful leaders and result in behaviours that are attractive to followers. The four most important of these traits or capabilities are as follows:

a.   **Self-confidence.** High self-efficacy, trust in own abilities, optimistic with internal locus of control.

b.   **Adjustment.** Stable with low anxiety and the absence of neurosis, reliable and open.

c.   **Drive.** Pro-social influence motivation, the desire for achievement, power, ambition, high energy, tenacity and initiative.

d.   **Cognitive ability.** Intelligence, ability to integrate and interpret large amounts of information, knowledge of business and relevant technical matters.

3.   Followers are attracted to people who display confidence, who are credible and who they can trust. Anybody who is neurotic or constantly anxious is unlikely to appear confident or attract followers. Conversely, people who have low levels of anxiety and high self-efficacy (a belief that they are capable of successfully completing assigned tasks) have the potential to attract followers. Followers are also more likely to be attracted to people who have a positive vision or goal for the future. Someone who is overly pessimistic with little drive is unlikely to attract followers. On the other hand, someone who is generally optimistic and hopeful for the future shows potential for leadership.

4.   Another psychological trait that may serve as an indicator of an individual's leadership potential is termed 'locus of control'. This can be described as the extent to which individuals believe that they can control events that affect them. People with an external locus of control tend to believe in luck, and believe that most events in life are pre-ordained and outside their influence. On the other hand, people with an internal locus of control believe that they are in charge of their lives and can control situations to suit their desired outcome.

5.   Followers are more likely to be attracted to a leader who displays an internal locus of control (as opposed to an external locus of control) since that person appears to be more in charge of situations. People with an internal locus of control

are better able to accept that change is something that they can shape and influence rather than it being an inevitable force over which they have no control.

6.   It is unclear whether the possession of these traits was the cause or consequence of leadership success. What is apparent, however, is that these traits can be used to guide the selection of leaders and to influence subsequent leadership development programs.

ANNEX 1C

LEADERSHIP STYLES

1.   The six leadership styles in Table 1C.1 are based on research drawn from a random sample of 3 871 executives.[13]

Table 1C.1: Leadership styles

	Coercive	**Authoritative**	**Affiliative**	**Democratic**	**Pacesetting**	**Coaching**
The leader's modus operandi	Demands immediate compliance	Mobilises people towards a vision	Creates harmony and builds emotional bonds	Forges consensus through participation	Sets high standards for performance	Develops people for the future
The style in a phrase	'Do what I tell you'	'Come with me'	'People come first'	'What do you think?'	'Do as I do, now'	'Try this'
Underlying emotional intelligence competencies	Drive to achieve, initiative, self-control	Self-confidence, empathy, change catalyst	Empathy, builds relationships, communication	Collaboration, team leadership, communication	Conscientiousness, drive to achieve, initiative	Develops others, empathy, self-awareness
When this style works best	In a crisis, to initiate a turnaround or with problem employees	When change requires a new vision or when a clear direction is needed	To heal rifts in a team or to motivate people during stressful circumstances	To build buy-in or consensus or to get input from valuable employees	To get quick results from a highly motivated and competent team	To help an employee improve performance or develop long-term strengths

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[13].   Daniel Goldman, 'Leadership that Gets Results', *Harvard Business Review* Mar–Apr 2000

CHAPTER 2

LEADERSHIP IN THE MILITARY

Executive summary

- Military leadership requires fostering genuine commitment in subordinates for raising, training and sustaining forces and for military operations.

- Military service requires understanding of the inherent differences between command and leadership.

- The moral component of fighting power is developed through leadership, rather than command.

- Morale is strongly related to the moral component of fighting power.

- Leadership in the military includes adapting to a variety of situations across the spectrum of armed conflict.

- Leadership on operations includes dealing with member anxiety, stress and fear in battle.

- Personal values are the foundation for self-discipline.

- Mission command relies on self-discipline and team trust.

> *The qualities, characteristics and skills required in a leader are determined to a large extent by the demands of the situation in which he is to function as a leader.*
>
> **Ralph M Stogdill**
> **'Personal Factors Associated with Leadership: A Survey of the Literature'**
> ***The Journal of Psychology*, 25, 1948**

INTRODUCTION

2.1   Leadership in the military, like all leadership, concerns itself with the exercise of influence over others to gain their willing consent in the ethical pursuit of missions. What differentiates the military leader from their civilian counterparts is the requirement to foster a sense of genuine commitment among their subordinates throughout the lead-up to, and involvement in, military operations. Military leaders support members so that they are able to confront and accept the moral component of operations. Military leaders encourage members so that they can deal with and manage the fear of battle. Good military leaders put the needs of the mission and the concerns of subordinates before their own needs and concerns.

2.2   Leadership in the military should not be confused with command. The two concepts are linked through their mutual concern with the welfare and morale of

members, but the term 'leadership' and the term 'command' are not interchangeable. Leadership is responsibility accepted, not authority granted.

REQUIREMENTS OF SERVICE

2.3   The mission to defend one's country requires the maintenance of operationally capable forces with high levels of fitness, commitment, efficiency and discipline. Certain inherent requirements which apply to all service people distinguish the profession of arms from civilian employment. This distinction is often referred to as accepting 'unlimited liability'. This was first coined by General Sir John Hackett in distinguishing what separates the military from other groups. Accepting this liability means that all members understand that they are subject to being lawfully ordered into harms way under conditions that could lead to the loss of their lives. Further explanation of unlimited liability is provided by Major General Craig Orme in his review of the Australian profession of arms, highlighting that the term assists to define what it means to be a member of the military profession.

2.4   For further information see *Military Personnel Policy Manual—Part 2*, Chapter 1, 'Inherent Requirements of Service in the Australian Defence Force', which lists 15 inherent requirements of service including operational service, command and discipline, unrestricted service and regulation of lifestyle, amongst others. All Australian Defence Force (ADF) members need to recognise their obligation towards these inherent requirements of service. These obligations are underwritten by military law and enforced through the process of command.

COMMAND VERSUS LEADERSHIP

Command

2.5   Command is the authority which a commander in the military service 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, organising, directing, coordinating and controlling military forces for the accomplishment of assigned missions. It also includes responsibility for health, welfare, morale and discipline of assigned personnel.[14]

2.6   From this definition it is obvious that the essence of command is the legal authority to order subordinates towards assigned tasks. Command requires structure, can only be applied down the chain of command and requires compliance from subordinates. The ADF definition places primacy on accomplishing the mission with a secondary focus on the personnel involved. The definition doesn't include the word 'leading', nor does it mention that vital component of leadership, namely the influence of others. Aspects of command that differentiate it from leadership include compliance, discipline and the authority to direct and control the activities of others as explained below.

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[14]   For further information about the exercise of command in the ADF see: Australian Defence Doctrine Publication (ADDP) 00.1—*Command and Control.*

a.   **Compliance.** The essence of command is the legal authority to direct subordinates towards the completion of assigned tasks. This includes accepting that one can be deployed to an operational area and placed in harm's way, even if it is against one's will. Even though military personnel generally have little say in a Government decision to go to war, the members are required to subjugate their will to that of the Government. Military personnel must accept that they can be ordered to do something that they may not normally be inclined to do. Once a military superior decides on a legal course of action, there is limited scope for subordinates to act contrary to the direction provided.

b.   **Discipline.** Discipline in the military generally relates to training and conditioning (drills) to enforce obedient behaviour to rules and orders. These rules and orders are often additional to those of broader society and are well defined in the *Defence Force Discipline Act* and related documents. Non-compliance with these rules and orders can bring about punishment, imposed to ensure future compliance.

c.   The military uses the techniques of discipline to ensure that its structure survives during the conduct of operations and on the battlefield. Few would advocate a radical departure from this time-honoured approach. Nevertheless, the use of discipline, although essential in certain circumstances, is rarely a demonstration of leadership. Military discipline is based on legitimate authority and relies on coercive power and the fear of punishment for effect. Leadership influence is independent of formal authority and relies on personal power and an ability to gain willing commitment.

d.   **Directing and controlling.** The process of directing and controlling usually implies some form of formal authority. The ADF definition of command includes both the activities of directing and controlling. Directing by verbal or written orders, as in directing air traffic or issuing directives to subordinates, are activities that come from positions of authority and are generally issued by superiors. Such directions require compliance and obedience.

e.   Under the definition of leadership given in Chapter 1, directing and controlling that calls for unconditional obedience cannot be considered a legitimate leadership activity. On the other hand, a style of leadership that is characterised by a leader who gives guidance, a leader who lets subordinates know what is expected of them, is called an authoritative style of leadership. An authoritative style of leadership, although assisted by a position of authority, doesn't necessarily rely on that position or authority for its effect.

Military leadership

2.7   The term 'military leadership' is somewhat misleading because it implies that there is a category of leadership that is peculiar to the military. The term has been incorrectly used by many civilian commentators to describe the legitimate practice of command—a practice where subordinates (in this instance incorrectly called followers) are obliged to obey lawful orders. Leadership as a concept is the same the world over, no matter how or where it is practised.

2.8   The principles of leadership do not change between the military and civilian society any more than they change from one country to another. What do change,

are the context and the culture in which leadership is practised. The context and culture can affect the style or approach adopted by leaders, but they still fall within what is broadly described as the leadership process.

2.9   A member of the military may be assigned a position with the legitimate and related powers of command and yet display little or no leadership behaviour. Appointment to such a command position does, however, bring with it the power and authority over subordinates that the leader needs to achieve assigned tasks. Although not intended in purpose, command takes away the actual requirement to exercise persuasion and personal influence to get things done. In theory, the military could turn its back on leadership as a practice and rely solely on command to achieve military objectives. In practice this rarely occurs.[15] Table 2.1 outlines some fundamental concepts associated with command and leadership, and demonstrates why command is often the preferred approach to achieving task outcomes. It is simple, unambiguous and leaves no room for confusion.

Table 2.1: Comparison of leadership and command concepts

Leadership concepts	Command concepts
Responsibility accepted	Authority granted
Organisational structure not required	Requires a hierarchical structure
Can influence in all directions	Influence is down chain of command
Following a leader's actions or advice is discretionary	Following a command (given by a legal commander) is compulsory
Committed followers	Complying subordinates

LEADERSHIP IN THE MILITARY

2.10   Leadership is not a necessary process to ensure military orders are obeyed. Leadership is, however, a necessary process to ensure commitment to purpose and bolstering the will of others to continually pursue military objectives. Without leadership, the will to fight is neither developed nor nourished and therefore quickly dissipates. Leadership in the military broadly encompasses the moral component, self-discipline, belief in purpose, morale, trust and credibility and has a natural focus on their application on operations

2.11   **The moral component**. There are three components of fighting power: moral; physical; and intellectual.[16] Perhaps the most important of these is the moral component which supplies and sustains the will to fight. Gaining this will to fight from military members is about influence rather than compulsion with the end result being

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[15].   History suggests that conscript, as distinct from volunteer, military forces are more inclined to rely on the command function to achieve outcomes rather than emphasise the leadership function.

[16].   For further information about the components of fighting power see: ADDP 3.0—*Campaigns and Operations.*

a willingness of members to take up arms for a just cause. In simple terms, those who fight choose to do so because they are convinced of the rightness of their participation.

2.12   Initially, military members may question why they are going to war and why they are resorting to lethal force. Those who can convince others that such a course of action is not only justified but also the right or moral thing to do, will start to attract willing followers. That someone, no matter the rank, is demonstrating leadership. Leaders in the military are concerned with the emotions and behaviours of members that arise from their potential involvement in operations. Leaders in the military are concerned about persuading fellow members regarding the appropriateness of the common mission.

2.13   **Self-discipline.** A general goal of military training and education is to develop in individuals a sense of judgement and a capacity for self-regulation so that reliance on external discipline is minimised. In so far as self-discipline relates to the internal regulation of behaviour, the advantages of this approach (over externally regulated behaviour) in terms of consistency, initiative and adaptability make the inculcation of self-discipline in others a key responsibility of military leaders. The development of self-discipline in members is revisited in Chapter 6.

2.14   **Belief in purpose.** Moral behaviour implies personal choice, and the extent of that freedom to choose is the element of willingness or acceptance included in the leadership relationship. The moral component of leadership, the ability to get people to fight willingly, refers to the rightness or correctness of what one is doing on operations. The sense that one is fighting for a just cause and fulfilling a worthy purpose, the conviction that the purpose is morally and ethically sound, is a necessary component of leadership in the military.

2.15   Morally defensible purpose is not the exclusive domain of military leaders (since it should be a concern of all leadership) but it is of heightened importance because of the life-taking aspect of warfare. The military leader should, in the first instance, be convinced that what they are doing is right, and then go on to convince team members of the same.

HISTORICAL EXAMPLE
BELIEF IN PURPOSE

In 2003 Wing Commander Greg Taylor served as a commander in the Middle East Area of Operations, leading what was then referred to as the 'Air Group', or Task Group 633.4. This group comprised a C130 detachment, an air traffic control detachment (in Baghdad) and combat support elements for each detachment. Taylor later captured his experiences in this appointment in a paper entitled 'Reflections from Operation FALCONER'. Some extracts from this paper that discuss issues relating to belief in purpose are reproduced below.

> *Generating a shared sense of purpose for people is fundamental to the generation of high performance in the workplace. When I arrived in the desert I was surprised to find that few people really understood our overall mission as a coalition partner, or even our purpose as a Group. As part of my desire to create a sense of unity, I created a document with a twofold aim: firstly to formally define our purpose to those in the Group, and*

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secondly to provide something that everyone could send home to their loved ones to describe what they were doing. This last point was most important to me, as although everyone had ready access to telephones and email with home, many people were afraid to talk about what we were doing for fear of breaking the strict security measures. …

We are here to deliver capability to meet the Government's objectives. You may have your own feelings about whether we should be here or not. Ultimately our task, as Australian members of the coalition is to help build a strong nation in Iraq; in the economy, the standard of living and with a lifestyle and security that we all enjoy. …

As members of the Air Group we are only one small part of the overall commitment, and we may be sent home tomorrow. But we need to ensure that, while we are here, we all know our mission and we make our country proud of our contribution. We may only be 200 people but we are good at what we do and we do have influence. …

Sometimes we need to go through struggle. Our life here has many struggles. We may struggle with the heat, or being away from home. We may struggle with our tasks, finding solutions and answers, or with being bored. We may struggle with the reason for being involved in this coalition. But our struggle helps us learn; it makes us stronger and it makes us feel proud to achieve. The people of Iraq have struggled for many years; we are not here to release them from that struggle, but to help them find their wings.

2.16   All leadership, including leadership in the military, offers a choice to followers—even to the extent that this choice allows for dissent from followers. When constructive dissent is not appropriate to the situation, or could have immediate and detrimental consequences, then the leader rightfully moves from leadership to command. Some would argue that dissent of any kind is not appropriate on the battlefield and therefore has no place in the military. That position is unnecessarily rigid and does not take into account the range of situations presented by military operations where such dissent is not only appropriate but also morally correct.

2.17   **Morale.** The ADF definition of command includes the responsibility for morale of assigned personnel. Morale can be defined as a state of mind, a mental attitude of confidence and well-being in individuals. While morale can be individual, it can also be collective, such as when people identify themselves with a group and accept group goals, norms and values.

2.18   Field Marshal Sir William Slim stated that the foundations of morale were spiritual, intellectual and material. Under these headings he included such conditions as 'there must be a great and noble object' of which the 'achievement must be vital'. Lieutenant General Wesley Clarke stated something very similar: 'the morale of soldiers comes from three things: a feeling that they have an important job to do, a feeling that they are trained to do it well, and a feeling that their good work is appreciated and recognised'.

2.19   **Morale and leadership**. The basis of military morale includes primarily a clear understanding of, and belief in, the aim. Personnel involved must have a conviction about the necessity, legality and morality of an operation. The connection between leadership and morale appears to be with the leader establishing and convincing followers of the just cause of their proposed actions.

2.20   Leadership relates directly to the ability to influence others to follow willingly. Personnel will only follow willingly if they are convinced that what they are doing has a purpose and is right in respect to their beliefs. One (of possibly three) requirements for morale is establishing the correctness or the nobility of the action or goal being pursued. Here is the connection between leadership and morale. It may, in fact, be a moral connection. Morale has a link to leadership since both concepts are concerned with the rightness or appropriateness of the goal or mission that the group is attempting to achieve.

2.21   **Military context**. The purposeful influence of followers is enhanced by an understanding of the situation in which the group will be led. Military service can, and often does, involve employment in a wide range of situations, both in terms of team composition and the complexity or urgency of task. Indeed, the modern military is characterised by networked teams embedded in a complex and ambiguous environment.

2.22   Apart from the different variety of professional military skills required, different situations also require different leadership approaches. The leadership required by a logistics officer leading an office-based resupply team is likely to be different from the leadership employed by an infantry officer tasked with destroying an adversary ammunition dump. In the office situation, the leader will find that followers respond best to an affiliative and democratic style of leadership. On the other hand, in an ambiguous operational situation a more authoritative style may be more effective and appeal to followers.

2.23   As the examples above would suggest, a leader in the military has to use differing approaches to meet the situational need. According to the situation or context, a leader in the military should be flexible enough to employ:

a.   different leadership styles

b.   different emphasis on task/people/team needs

c.   different personal and social skills

d.   legitimate methods other than leadership to achieve tasks.

2.24   The difficulty for military members is to resist the temptation to continually revert to coercive and autocratic styles, simply because such styles are easier to use in the military environment. Continued use of a directive approach results in low morale, the suppression of moral development and the loss of initiative.

2.25   **Trust and credibility**. Leader and follower alike have to believe that the cause they are fighting for is honourable and just. Having been convinced of the correctness of the task being undertaken, followers need to believe that the leader knows exactly what they are doing. They should be confident that the leader is capable of seeing the task through to fruition and be capable of bringing the team or crew home. The leader has to establish their credibility in regard to the looming task and gain the confidence, trust and respect of the team. As indicated in Chapter 1, trustworthiness is one of the most important leadership traits.

Leadership on operations

2.26   Having gained their team's confidence, the military leader also has to deal with member apprehension and anxiety in the lead up to armed conflict. During armed conflict, the leader has to manage their own fear and deal with the fear and stress of other members of the group. Post–armed conflict, the leader has to comprehend and deal with the burdens that have arisen as a consequence of participation in what may have been a confronting and at times terrifying experience. A positive leadership approach serves to enable personnel to maintain effort, or to put it more simply, endurance, for extended periods under difficult circumstances in the conduct of operations; a persistence that mere authority can't generate. Some specific leadership lessons to emerge from the involvement of the ADF in over a decade of armed conflict are examined further in Chapter 3.

I am very proud to say that I have twice had the privilege of wearing the blue beret—20 years ago in Rwanda in 1995 and in Timor Leste in 2002. The former, Australia's contribution to the United Nations Assistance Mission in Rwanda, has become legendary, particularly the extraordinary efforts of our personnel during the massacre at the Kibeho Internally Displaced Persons camp on 22 Apr 1995...

My role was Officer Commanding Clinical Services and Aeromedical Evacuation Operations Officer, and as a Squadron Leader I was also the senior RAAF Officer in what was primarily an Army mission. Although our main job was to provide health care to the UN troops, most of our work was humanitarian—caring for the local population. This included people who we rescued from around the country by aeromedical evacuation or by road, and those we chose to treat who had presented to the Kigali General Hospital but who were too sick to be managed there...

Those six months were an incredibly experience-rich time for myself and many of my colleagues. We worked extremely hard, and had some very traumatic experiences, but there were also a lot of positive aspects. For me, the highlight was caring for the children of Rwanda, including those from the Mother Teresa orphanage in Kigali. As I saw it, each child we saved or left a positive imprint upon had the potential to grow up and make a positive difference in their country, and so represented a small victory. In other words I definitely have many good memories along with the bad. I feel very proud of the work myself and others did over there, and of how courageous our people were.

Air Commodore Tracy Smart
Address to the Australian Peacekeeping Day Memorial Service
14 September 2015

2.27   **Apprehension and anxiety**. Warfare is continually changing as technological developments transform the way that wars are fought, and might be fought in the future. Although some of its characteristics may change with the times, the nature of war is immutable. Warfare invariably involves terror, violence, chaos, suffering, social and economic dislocation and destruction of life and property. All military members face the possibility of deploying to or near war zones and being called on to engage in direct action against adversary forces.

2.28   Even though there may be some similar civilian situations—such as emergency response to civil disaster, bushfires or police riot action—such situations are generally less deadly than close combat, and don't have the same level of inherent compulsion. An additional dimension, and one that differentiates operations from civil disasters, is that operations are often carried out far from home in a foreign and aggressive environment. All the above circumstances can be expected to produce great apprehension and anxiety amongst military members, their families and friends.

2.29   **Addressing apprehension and reducing anxiety**. A member's pre-armed conflict anxiety stems predominantly from two sources: trepidation at doing the unfamiliar; and misgivings about their ability to accomplish what is required of them. These can be addressed in pre-deployment work up training by turning the unfamiliar into the familiar and allowing members to prove to themselves that they can accomplish likely tasks.

2.30   Initially, members push through their anxiety because of an undeniable desire not to let their mates down and an implicit trust that their leader will keep them from harm. The families of military members are also affected by pre-armed conflict anxiety. Military family and friends may be bombarded by the media during the lead up to an armed conflict. Commanders or leaders can help reduce the inevitable confusion and anxiety by communicating relevant and factual information back home to the families of their subordinates. The member and family appreciate hearing directly from their commanders and the commanders are best placed to know what is able to be released.

Figure 2.1: Command communication is essential for reducing anxiety during deployments

2.31   **Stress and fear**. The responsibilities of leadership can be stressful in normal situations. On operations, this level of stress is likely to increase. Hostilities bring confusion, chaos, uncertainty and fear. This creates an atmosphere that is ripe for leadership. People caught up in this confusion look for guidance and reason. They want to be shown a direction that will lead to a reduction in chaos, confusion, uncertainty and fear. In such a situation, a person who is able to control and suppress their own fear attracts the attention of others. If that same person is then able to sooth and abate the fear in others, then they will have followers.

2.32   **Managing stress and fear**. To manage stress and fear in chaotic situations, a leader should:

a.   explain that fear is a normal occurrence and encourage discussion so members are less likely to suffer self-recrimination after danger has passed

b.   maintain routine and habit and, as far as possible, adhere to daily routines

c.   ensure the timely and accurate passage of information as knowledge dissipates the unknown and quells rumours

d.   understand and monitor signs of stress in self

e.   manage their own fear and try to behave calmly.

> *Being on a ship whilst it is being attacked by aircraft was a completely new experience for me...You get the countdown, you can hear the roar of the engines of the jet aircraft, the whoosh of missiles firing and the crackle of small arms and machine gun fire. Then the whole aluminium and steel fabric of the ship—or cell as it seems at that moment—rocks and shakes in combination with the noise of the bombs exploding. You have no understanding of what is going on outside of your immediate area.*
>
> *The Captain clearly understood how everyone was feeling. He calmly announced to the ship's company over the ships loudspeaker system what was going on, both in and around the ship and what the Navy was doing about it. He was delightfully unruffled and his voice was gentle. He had an immediate, positive, calming effect on everyone, although no-one said very much.*
>
> **British soldier on board HMS *Fearless***
> **Falklands War**
> **1982**

2.33   Knowledge, discipline and training before conflict play a vital role in suppressing inevitable stress and fear during conflict. It is a leader's responsibility to ensure that the team knows as much as possible about the situation they are entering, both in terms of their own equipment capability and the likely capability of the adversary. It is also the leader's responsibility to ensure that relevant and realistic training has been carried out so that when conflict arises, members are confident they know what to do. Lastly, it is a leader's responsibility to ensure that their team is disciplined and will carry out procedures and drills in an automated and confident manner. In the heat of combat, this drill and automation focuses the attention of individuals and drives fear and stress to one side.

2.34   **Emotional and psychological burden**. Operational leaders must be perceptive and responsive to the individual stresses and concerns of team members where the normal support mechanisms of home and family and the release provided by leisure activities are absent. The burden of having done what one has done in conflict, especially the burden of having taken human life, affects people in profound and different ways.

2.35   The leader has a role in recognising and adjusting for post-traumatic stress. The leader must accept the distinct possibility that others have been affected more than them and may be suffering post-traumatic stress. A leader must be sensitive to what may appear as weak, and in the extreme even cowardly, behaviour from others and ensure that such individuals are cared for appropriately. Most importantly, the leader must be aware as to how they have been affected by stress and ensure any effects are managed.

MILITARY ETHOS

2.36   Military ethos comprises the values, ethical framework and culture for the military profession. Military ethos enables professional self-regulation, creates desired military culture and establishes the trust that must exist between the military and the society it serves.

Military values

2.37   Military forces tend to espouse values and beliefs that are relevant to war fighting and therefore more demanding than those of civilian organisations. Society recognises that the operational imperative is sufficient grounds to espouse values that would hold less weight in society at large. Values such as honour, duty, selfless commitment, courage, discipline and loyalty are more prevalent in military organisations than in wider society (where some of these concepts are less well understood).

2.38   These professional military values are concepts derived from the demands of battle and the technical needs of a military hierarchy. Battlefield situations induce tremendous fear and confusion in individuals. It is no surprise that courage is valued so highly in the military environment since it is courage that is the foil of fear. If someone displays courage then the process of influencing them to willingly go into battle is much easier than if, say, they were imbued with values pertaining to self-preservation.

2.39   **Values-based leadership in the military**. Professional military values like courage, loyalty and selfless commitment lead to behaviours that are highly desirable in operational situations. Although few in the military would want to see professional military values down-played in the operational context, it is important to remember that these values alone are not a sufficient basis for leadership in all military situations.

2.40   Military organisations require their leaders to carry out their duties well in both peacetime and operational environments. Military leaders need to embrace values that underpin both the law of the country and the rules of engagement. Values such as care, compassion and respect form the basis for sound leadership in both war and peace, even though these values are rarely stated in military value sets.

2.41   **Legal obligation**. The idea that the values of an organisation should reflect the broader civic values of the society to which that organisation belongs is not new. The law is the means by which social order is established and maintained, and is the supreme authority in society. No one is above the law and actions by the government must be sanctioned by law. Under the rule of law, a country's military has an obligation to obey and uphold the law; that is to defend the rule of law as an important social value and to ensure obedience to the law.

Military ethics

2.42   Military ethics has been described as the application of ethics (knowing what one ought to do) to military endeavours. This is not to say that ethics in the military are somehow different to ethics in the wider community. Military ethics still involve a system of moral principles by which a military leader's actions and proposals may be judged good or bad or right or wrong. It has been argued, however, that ethics play a more crucial role in the military than in other walks of life.

> *Ethics is not, repeat not, an optional extra. It is the absolute core of what defines you as the warrior profession. It is ethical restraint which makes the distinction between a warrior and a barbarian, right? … your life is one continuous set of ethical challenges.*
>
> **Dr Michael Ignatieff**
> **Professor and Director of the Carr Centre for Human Rights and Policy**
> **Kennedy School of Government–Harvard University**
> **Address to the US Naval Academy**
> **2011**

2.43   There are two main areas of interest in the application of ethics in the military context. The first concerns the proper use of military force and covers such issues as the just war theory and the law of armed conflict. The second concerns military professionalism and the conflict of values—such as the balance between demonstrating loyalty and integrity when giving honest and forthright advice up the chain of command.

2.44   Military leaders are often confronted by ethical dilemmas on operations and during their careers. From a contemporary perspective, troops operating in Afghanistan in recent years have been confronted with the need to decide whether to fire on children brandishing weapons. By their very nature, dilemmas have no easy answers. Nevertheless, leaders are expected to apply moral sensitivity and be able to ethically justify their decisions and actions. The Government, and indeed the Australian public, expects military leaders to know what ought to be done in these and other ambiguous situations. The issue of military professionalism and conflicting values is revisited in Chapter 5.

2.45   **Leader responsibilities**. It is necessary for leaders to have more than just an academic appreciation of ethics. Leaders require an understanding of how ethics influences their decision-making and actions. Leaders have specific responsibilities that relate to the individuals and the teams that they lead. There are three fundamental ethical responsibilities that leaders are required to discharge. These are to:

a.   serve as role models worthy of emulation

b.   promote ethical development in subordinates

c.   develop and sustain an ethical climate within the group that they lead.[17]

2.46   The implications of any ethical failure by ADF members could potentially have severe and far reaching consequences. Inappropriate behaviours that emerge on operations may have had their genesis in the barracks environment prior to deployment. One way of ensuring that personnel behave ethically on operations is to

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[17].   For further information about the three fundamental ethical responsibilities see: *The Australian Defence Force Commander's Guide to Military Ethics* (Canberra: Australian Defence Force, 2012).

embed a leadership and ethics culture in training and education systems. This method is considered further in Chapter 6.

Figure 2.2: Values such as care, compassion and respect form the basis for sound leadership

Military culture

2.47   Generally speaking, authority in the military is based on rank rather than position, is readily identifiable (in uniform and insignia) and is transportable.[18] There is a well defined chain of command in which all subordinates are duty bound to obey lawful direction from above. In general terms, military culture remains largely rules based, conservative and traditional—with a belief in service before self, especially during operations when military personnel surrender their individual rights, including the rights to protection and personal safety. That being said, there is an increasing emphasis on values-based culture, as reflected in initiatives such as the New Generation Navy, Air Force New Horizon, and the Army's Contract with Australia.

2.48   **Positive cultural outcomes**. Military leaders need to be aware of typical military culture since it can both aid and undermine their efforts. Military culture definitely assists those who have leadership positions in the military. There is little doubt that leadership in a structured and well organised hierarchy is considerably easier than leadership in an unstructured volunteer organisation. Rank and uniform

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[18].   There are some areas, particularly in the RAN, where authority is vested in those holding certain technical qualifications. Such individuals may have the authority to direct others, regardless of rank.

can give those in leadership positions a degree of credibility that they otherwise may not automatically enjoy. Strong military cultures can have a significant influence on member behaviour, with positive benefits including cohesiveness, courage and organisational commitment.

2.49   **Negative cultural outcomes**. Military leaders also need to be aware of cultural aspects that can undermine performance. Negative aspects can include misplaced loyalty, resistance to change, discouragement of diversity and an over-emphasis on a 'can-do' approach to assignments. Most militaries can cite examples where loyalty to a mate or to a unit has resulted in well-meaning individuals or groups hiding unethical practices from the larger organisation. A can-do culture that too readily embraces all assignments without regard to resources risks member burnout and possibly leads to damage to equipment through the acceptance of maintenance shortcuts. Some of these issues are revisited in Chapter 5.

MORAL DEVELOPMENT

2.50   The relationship between the development of ethical reasoning, internalised values and self-discipline is strong. The behaviour of young military recruits is at first externally controlled by the use of rules and regulations through imposed discipline. Although effective, this method of behaviour control is time consuming and collapses when the rules do not extend to an unexpected situation. Similarly, in the early stages of moral or ethical development, an individual defines right or wrong in terms of what results in rewards or punishment. Overuse of the coercive style of leadership simply reinforces moral retardation. It is a leader's responsibility to encourage individuals to break free from the shackles of this early moral development stage and progress to a more internally controlled state.

2.51   When certain values are internalised and used to regulate individual behaviour, the need for regulations and constant supervision diminishes. Not surprisingly, there is a similar progression in the development of ethical or moral reasoning. At higher levels of moral development, an individual stops defining right and wrong in terms of rules and punishment and instead develops internal moral principles that define right and wrong from a universal values point of view. This is why the inculcation of civil and military values is so important. The positive outcomes of such an approach are exemplified when an individual makes a conscious decision not to bully subordinates for reasons of respect for the value of human dignity rather than through any fear of punishment. A leader's responsibility in the development of their people involves both modelling moral and values based behaviour and encouraging discussion and reflection on moral or ethical dilemmas.

MISSION COMMAND

2.52   Mission command has its origins in the German Army concept of *Auftragstaktik* and refers to a command style that allows subordinates maximum freedom of action within the bounds of the commander's intent. Mission command is a philosophy of command and a system for conducting operations in which subordinates are given a clear indication by a superior of their intentions. The result

required, the task, the resources and any constraints are clearly enunciated, however subordinates are allowed the freedom to decide how to achieve the required result.[19]

> *HMAS* Stuart *had to shut down her engines for repair while in the Mediterranean and sit idle in broad daylight for 14 hours in seas known to contain patrolling German and Italian submarines.* Stuart *was a sitting duck. Having been told by his engine room staff that the problem would take a day to fix, Captain Hec Waller waited patiently for his engineers to finish their work. Not once did Hec send to know how much longer they were going to be before he could get under way. When the job was done, he thanked them publicly over the ship's main broadcast and then rung on maximum revolutions, confident that his engines were now* repaired.
>
> **H. G. Gill**
> ***Royal Australian Navy 1939-1941***
> **1968**

2.53   Ironically, the concept of mission command has more to do with leadership and self-discipline than it has to do with command (as the two terms have been so far defined). Mission command places emphasis on decentralising authority and empowering personal initiative. Mission command encourages initiative by providing freedom of action for subordinates at each level. It requires trust in subordinates to achieve assigned tasks largely undirected and subsequent support for decisions honestly taken with unforseen consequences. The link between mission command and the self-discipline required of subordinates is obvious. Without direct control or observation, subordinates rely on their understanding of the commander's intent and their self-discipline to ensure difficult assignments are carried out professionally.

2.54   Leadership in the military shares much in common with leadership in the wider community. The requirements of service, however, serve to differentiate life and leadership in the military from civilian occupations. In its simplest form, a military organisation can rely on the exercise of command to meet its basic responsibilities, although achieving the best and most effective results requires true leadership. Care must be taken to avoid confusing the two, leadership and command, as the latter is more commonly associated with discipline and compliance, while leadership is based on gaining the willing support of those being led. It is also leadership that provides the moral and ethical aspect of command. Service life, and in particular operational deployments, places great stress on the individual, and requires leaders to deal with the anxiety and fear that their subordinates experience.

2.55   Military ethos and military values play a crucial role in determining how military forces perform in peace and under wartime conditions. These values tend to be focused on the requirements of war fighting, but they must also reflect those of the society from which members of the armed forces are drawn. A primary requirement of leaders in the military is to ensure that they can adapt to a range of different situations, and that they exercise influence over their followers to enable them to be

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[19].   For further information about mission command see: ADDP 00.1—*Command and Control*.

equally adaptable. In some respects, the role of leadership in a military environment is to achieve those outcomes that command alone is unlikely to achieve. It is unrealistic to rely on positional power alone to bring about long term effects. A position of authority may give a person an advantage when it comes to achieving military missions, but the well-spring of commitment will soon fade without proper leadership.

CHAPTER 3

LEADING PEOPLE IN DEFENCE

Executive summary

- Leadership in the Australian Defence Force is important to maximise operational effectiveness.

- Defence values are instilled by leader example.

- All Australian Defence Force leaders must have an appreciation of the different Service cultures and work to harness the best from everyone.

- Australian Defence Force leaders develop individual and capabilities— including individual and team resilience and the ability to handle operational stress.

- The Australian Defence Force must adapt to changing demographic and cultural circumstances.

- Australian Defence Force leadership is a significant contributor to the retention of members.

- Valuable lessons on the exercise of leadership can be identified through analysis of recent operations.

- The Australian Defence Force uses ten principles for leading people.

> *The quality of our people is the foundation of Defence's capability, effectiveness, and reputation.*
>
> **Defence White Paper**
> **2016**

INTRODUCTION

3.1   The Australian Defence Force (ADF) recognises the importance of leadership in maximising operational effectiveness and as a consequence focuses on cultivating leadership qualities in ADF members. One of the acknowledged strengths of the ADF over the years has been the quality of its leadership, and in particular that displayed by its junior leaders. This focus on junior leaders was evident during World War I where promotion from the ranks became a common occurrence, with appointment to sub-unit and unit command generally reflecting both an individual's performance on the battlefield and the level of respect in which they were held by the troops with whom they served.

3.2   It has always been accepted that ADF commanders and their staff set the example for others to follow, through their personal qualities of integrity, courage,

loyalty and compassion. The idea of 'leadership by example' has also served to enable the ADF to maintain morale, avoid wasted effort and promote initiative in its young leaders.

LEADERSHIP IN THE ADF

3.3   The ADF has long recognised the importance of having a well trained and highly motivated workforce. This is reflected in the fact that it has been a volunteer force, where members have joined to serve their country in times of war or peace. This has placed a significant onus of responsibility on leaders at all levels, requiring a greater emphasis on engaging with their subordinates rather than simply giving direction for others to follow. This is one of the most significant qualities that differentiates a volunteer force, such as the ADF, from conscript forces.

Results through people

3.4   It needs to be recognised that changes in the environment (marked by volatility, complexity and uncertainty) faced by the ADF impact on how current and future leaders exercise their responsibilities. These changes, coupled with the accelerating increase in technological developments across a range of areas, mean that individuals leading people in the ADF now need to acquire additional skills to those required in the past. The overall objective, however, remains much the same— ADF leaders achieve results through the effective use of their people.

3.5   **Importance of people to the mission**. The ADF's mission is to defend Australia and its interests. It achieves this by providing the Government with effective land, air and maritime military capability. All leadership activity within the ADF must be aligned to this mission. The primacy of mission success, however, should not come at the expense of the people within the organisation. A simplistic focus on outcomes (results) in the absence of an associated focus on people is not sustainable in the long term. Such an approach would seriously undermine the effectiveness of the organisation in an environment where there is a shrinking pool from which recruits will be drawn in the future.

3.6   ADF leaders should recognise that people who feel good about themselves, and who understand what it is they are being asked to do, produce more effective results. To facilitate this outcome, ADF leaders need to exercise skills that increase the level of motivation of those being led in order to raise their self-esteem and confidence. Since any form of intimidation, harassment or bullying is corrosive to an individual's confidence and self-esteem, such behaviours are not tolerated by ADF leaders. Further, the perpetrators of bullying and harassment demonstrate shortcomings that are not acceptable within Defence, and they must change their behaviour or be removed from the organisation.

Evolution of the Australian Defence Force leadership style

3.7   The ADF has developed a style of leadership that focuses as much on the characteristics of those being led as it does on the attributes of the leader. While this style had its genesis in the Army units deployed at Gallipoli and on the Western Front during the First World War, it was readily adopted by the maritime and air components. It has been described as being not so much a process of direct control but rather a belief in the initiative and resourcefulness of the led.

3.8   In other words, ADF leaders should be less likely to revert to command in its literal sense (organising, directing, controlling) and more likely to use supportive influence behaviours that give a degree of latitude to the team. Implied in this is the belief that we trust our subordinates to make the right decision—the decision the leader would have made had they been there—but accept that if the decision made is different, it becomes an opportunity to learn.

3.9   This style of leadership values and encourages the resourcefulness of subordinates in allowing them to achieve the means without necessarily worrying about the method used to get there, and sits well with the concept of mission command. Values also play a vital role in this style of leadership. Previous influence and inculcated values guide an individual or a group when they are separated from their normal leader or confronted with an unfamiliar situation.

DEFENCE VALUES

3.10   Six Defence values have been formulated as a unifying factor across all elements of Defence. They form the basis of the behaviour expected of people and leaders (both ADF and Australian Public Service (APS)) in Defence and are as follows:

a.   **Professionalism.** Striving for excellence in everything we do. We work hard to deliver high quality results, do our job to the best of our ability and take pride in our achievements. We are sensitive to changes in our working environment and ready to respond. We provide impartial, comprehensive, timely and accurate advice. We constantly seek to improve our work performance.

b.   **Loyalty.** Being committed to each other and to Defence. We serve the Government of the day and support our leaders and colleagues to undertake tasks and achieve results in line with Government direction. We treat everyone at all levels with respect, care and compassion. We work to uphold the best interests of the Australian people.

c.   **Integrity.** Doing what is right. We behave honestly and ethically, and demonstrate the highest standards of probity in our personal conduct. We act fairly and accept personal responsibility for our decisions and actions. We build trust through productive working relationships. We do not allow mateship to be misused to cover up bad behaviour or bring the organisation into disrepute. Our actions will clearly match our words.

d.   **Courage.** The strength of character to honour our convictions (moral courage) and bravery in the face of personal harm (physical courage). In Defence we stand up for what we believe is right and we speak out robustly and openly against what is wrong. We have the courage to accept valid criticism, admit to errors, learn lessons and improve. We give honest feedback on work performance.

e.   **Innovation.** Actively looking for better ways of doing our business. In Defence we are open to new ideas and strive to identify and implement better ways of doing business. We are clever and make best use of the resources that we have to do our job. We encourage sensible risk taking, and strive to identify opportunities to eliminate inefficiency and waste.

f.   **Teamwork.** Working together with respect, trust and collective purpose is cultivated through strong, positive leadership and attention to the needs of team members. In Defence teamwork is integral to everything we do, and characterises our working relationships inside Defence and across the whole of Government. We foster collaborative workplaces, communicate openly and solve problems in a collegiate manner, share ideas and take advantage of the diversity of our knowledge and experience.

HISTORICAL EXAMPLE
LOYALTY, COURAGE AND TEAMWORK

Chief Petty Officer 'Buck' Rogers was a living example of Defence values. On the night he died, the aircraft carrier HMAS *Melbourne* and the destroyer HMAS *Voyager* were conducting exercises off the New South Wales south coast. In the late evening of 10 February 1964 *Voyager* crossed in front of *Melbourne* and the two ships hit, with *Melbourne* smashing the destroyer in half. Rogers was one of more than 50 men trapped in darkness in a compartment of the sinking forward section.

He took control and tried to bring calm in the disastrous situation. He probably realised that not all would be able to get through a small escape hatch and that he, being a large man, had no chance at all. 'He was more intent on getting the younger chaps out first,' said a survivor. The forward section finally sank about ten minutes after the impact. Rogers was heard leading his remaining doomed shipmates in a prayer and a hymn during their final moments.

3.11   These values (which are also referred to by the acronym PLICIT) also align with the values emphasised by the three single-Services. The single-Service values reflect the uniqueness of the Services and they both complement and expand the overarching Defence values.

As stated in Chapter 1, single word values are open to wide interpretation. For this reason, each Service has amplified their defining values, as detailed in the RAN Values Booklet, *Serving Australia with Pride*; the Army LWD 0-2—*Leadership*, Chapter 2, 'Ethos and Values'; and the Air Force *Leadership Companion*.

HISTORICAL EXAMPLE
COURAGE IN AFGHANISTAN

The following is an extract from the Citation for the Victoria Cross awarded posthumously to Corporal Cameron Baird in 2014.

On 22 June 2013, a Commando Platoon of the Special Operations Task Group, with partners from the Afghan National Security Forces, conducted a helicopter assault into Ghawchak village, Uruzgan Province, in order to attack an insurgent network deep within enemy-held territory. Shortly after insertion, Corporal Baird's team was engaged by small arms fire from several enemy positions. Corporal Baird quickly seized the initiative, leading his team to neutralise the positions, killing six enemy combatants and enabling the assault to continue.

Soon afterwards, an adjacent Special Operations Task Group team came under

heavy fire, resulting in its commander being seriously wounded. Without hesitation, Corporal Baird led his team to provide support. En route, he and his team were engaged by rifle and machine gun fire from prepared positions. With complete disregard for his own safety, Corporal Baird charged towards the enemy positions, supported by his team. On nearing the positions, he and his team were engaged by additional enemy on their flank. Instinctively, Corporal Baird neutralised the new threat with grenades and rifle fire, enabling his team to close with the prepared position. With the prepared position now isolated, Corporal Baird manoeuvred and was engaged by enemy machine gun fire, the bullets striking the ground around him. Displaying great valour, he drew the fire, moved to cover, and suppressed the enemy machine gun position. This action enabled his team to close on the entrance to the prepared position, thus regaining the initiative.

On three separate occasions Corporal Baird charged an enemy-held building within the prepared compound. On the first occasion he charged the door to the building, followed by another team member. Despite being totally exposed and immediately engaged by enemy fire, Corporal Baird pushed forward while firing into the building. Now in close proximity to the enemy, he was forced to withdraw when his rifle ceased to function. On rectifying his rifle stoppage, and reallocating remaining ammunition within his team, Corporal Baird again advanced towards the door of the building, once more under heavy fire. He engaged the enemy through the door but was unable to suppress the position and took cover to reload. For a third time, Corporal Baird selflessly drew enemy fire away from his team and assaulted the doorway. Enemy fire was seen to strike the ground and compound walls around Corporal Baird before visibility was obscured by dust and smoke. In this third attempt, the enemy was neutralised and the advantage was regained, but Corporal Baird was killed in the effort.

Corporal Baird's acts of valour and self-sacrifice regained the initiative and preserved the lives of his team members.

Values-based behaviour and leadership

3.12   The legitimacy of the ADF requires that it embodies similar values and beliefs to Australian society. The Government's use of the ADF also reflects community values about the need for Australia, where it can, to seek to resist international aggression, relieve human suffering, promote justice and freedom internationally, and protect our borders. A military force is therefore not simply an instrument of state power; it is also a reflection of the society from which it is drawn.

> *Our rank slides proudly state 'AUSTRALIA'. A clear statement that identifies exactly who we are and what we represent. The Air Force is shaped by the core values of Australian society that represent the rights and freedoms of its people, respect the dignity of all persons, and uphold the democratic principles upon which the nation is built. As members of the Air Force, we are expected to conform to, and uphold, the laws and norms governing the wider Australian society. Additionally, our responsibilities and obligations as members of the Profession of Arms entail the defence of the values enshrined in our nation's laws and codes of behaviour.*
>
> **RAAF *Leadership Companion***
> **2013**

3.13   Defence promotes a philosophy and the requirement for values-based behaviour. Values-based behaviour is about individuals at all levels being prepared to accept responsibility and accountability for their actions and to think clearly about the consequences of their actions for Defence. Behaviour is the visible hallmark of values and values-based behaviour and is created through values-based leadership.

3.14   Values-based leadership is about leading with the culture and values of the organisation. Therefore, ADF values-based leadership includes leadership in sync with PLICIT and single-Service values as applicable. Values-based leadership is about having a congruency with what Defence stands for and leading in a way that promotes and engenders others to genuinely embrace similar values.

AUSTRALIAN DEFENCE FORCE CULTURE

3.15   Australia is a country with a history of stable government under a system of parliamentary democracy. Principles of democratic government, including a respect for the rule of law and human rights, and social equity and fairness, are important to all Australians. It is an egalitarian society where the principle of 'a fair go for all' has been a defining feature of the way Australians see themselves, and the way others see them.

3.16   Although shaped by Australian culture, the ADF also has well defined military cultures. The advantages and challenges of leadership in a military culture are outlined in Chapter 2. The ADF shares many of the characteristics of a typical military culture and also has some cultural characteristics of its own. The ADF rewards fitness and teamwork, task completion and operational service, primarily by way of promotion and career progression.

3.17   In many cases these strengths may contain the seeds of organisational weakness, and there have been instances over the years that support this contention. An initial training establishment's over-emphasis on physical prowess may be daunting for someone who is slight but otherwise able. Pressure to complete a task on time may lead to unsanctioned shortcuts and unsafe practices. A platform-centric focus, where the maintenance of operational readiness is seen as paramount, can, if not carefully monitored, force safety considerations into the background. Quick rotations through jobs on a career pathway may result in short-term decision-making. Obsequiousness towards seniors can lead to answers that seek to please rather than answers that recognise the reality of the situation at hand. Some of these cultural traits are further examined in Chapter 5.

3.18   ADF leaders need to do all that they can to align their behaviour and practice so that they accord with Defence and Australian values. The 'Australian way' requires everybody to be treated with respect and to be given a fair go. Enhancing and sustaining the culture and values of Defence is central to an effective people framework, and fosters a connection between the ADF and its people.

3.19   The emphasis on culture and values within Defence is being driven from the highest levels throughout the organisation, reflecting the commitment by Chief of Defence Force and the Secretary to ensuring that people are treated with care, consideration and compassion. The 2005 ADF military justice review provided a valuable opportunity to address the issues of fair play, justice and a fair go that should underpin Defence and reinvigorate the important role of culture and values. Unfortunately, evidence has come to light suggesting that there has not been a universal application of the accepted culture and values over a period of many years.

Pathway to Change: Evolving Defence Culture

3.20   *Pathway to Change*, first released in 2012 as a response to the outcomes of the Defence Culture Reviews and Reform Directions, recognises that some Defence and the ADF have failed in the everyday behaviour, and others have been not been treated fairly or respectfully. The 2017-22 Strategy, which is based around being 'respectful, trusted and proven to deliver', identifies a cultural intent and priorities for the organisation.

3.21   The 'One Defence Leadership Behaviours' support the cultural intent of *Pathway to Change* and are described as:

- **Contributor.** I am a leader who is focused on achieving Defence Outcomes and I ensure my team understands how their work contributes to these outcomes.[20]

- **Learner.** I learn and reflect on my performance and that of my team.

- **Accountable.** I am accountable for my actions and how I respond to the actions of those around me.

- **Risk manager.** I take calculated risks and make judgements about what risks are necessary and acceptable to deliver the outcome.

- **Inclusive.** I seek out and accept the diverse perspectives of others in exploring opportunities and solving problems; I trust they will offer good ideas and will challenge in a constructive and respectful way.

- **Team builder.** I build teams through managing performance honestly and respectfully.

- **Innovator.** I actively adapt and seek to innovate.

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[20] For more information on *Pathway to Change* and the 'One Defence Leadership Behaviours', see:
http://drnet.defence.gov.au/People/Culture/Pages/Pathway-to-Change.aspx and
http://drnet.defence.gov.au/People/Culture/Pages/One-Defence-Leadership-Behaviours.aspx

> *We all must work on actively preventing those things that undermine our capability; bullying, harassment and other unacceptable behaviours that diminish team cohesion and can lead to serious safety incidents, or even destroy lives.*
>
> *A key deliverable that the New Horizon program is focusing on is behaviour; how we treat each other in the workplace; reducing the low levels of workplace bullying and harassment that sometimes occurs in our workplace; the types of behaviours that isolate and marginalise people, the unhealthy behaviours that good people unwittingly inflict on other good people.*
>
> **Air Marshal Geoff Brown**
> **Chief of Air Force**
> **Message to Air Force on the New Horizon, 2014**

Navy, Army and Air Force cultural differences

3.22   These behaviours, the Defence values and *Pathway to Change* are consistent with the ADF's leadership practice and the principles of leadership described below.

3.23   The cultures of the three Services have always been different and will probably remain so, even as operations become increasingly joint in nature. There is, in fact, greater similarity between the trans-Tasman single-Services—for instance similarity between the Royal Australian Navy and the Royal New Zealand Navy—than there is between Australia's Navy, Army and Air Force.[21] As would be expected, it is the function of a particular Service that most determines its culture.

3.24   ADF leaders need to develop an early appreciation of the culture and practices of the Services. More than ever before, the ADF operates as a joint force. Recent experience in East Timor, Iraq, Afghanistan and Solomon Islands suggests that one of the most significant barriers to the success of joint operations is misunderstandings that arise between the Services. These misunderstandings are not primarily related to the technical aspects of each Service's equipment but rather to the different interpretations of basic concepts such as discipline, teamwork, loyalty and the chain of command.

3.25   **Cultural differences**. Much of the training focus within the ADF is now focused on developing closer ties between the Services. The Australian Command and Staff College is a case in point, with officers from across the ADF studying together for one year, with a focus on the conduct of joint operations. Having closer ties requires an understanding of the cultural difference that exists not only within the ADF but also with the APS.

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[21]   For further information about cultural differences and similarities between each of the Australian and New Zealand Services see: Aaron P. Jackson, *Doctrine, Strategy and Military Culture: Military-Strategic Doctrine Development in Australia, Canada and New Zealand, 1987-2007* (Trenton, ON: Canadian Forces Aerospace Warfare Centre, 2013).

Responsibilities of leaders in the Australian Defence Force

3.26   Leading people effectively is both an opportunity and a responsibility. As previously discussed, occupying a position of authority does not necessarily imply influential leadership behaviour, nor does it imply that subordinates automatically become followers. Nevertheless, the ADF expects that members placed in a position of authority will exercise both leadership influence and fulfil the management roles and command obligations attached to that position.

3.27   Within the context of leading people in the ADF, there are two distinct areas of responsibility. The first is to exercise their leadership ability to facilitate the attainment of organisational goals. Secondly, noting the importance of trust and understanding to the doctrine of mission command, leaders need to nurture the development of leadership skills among their followers This can be achieved through delegation, encouraging a willingness to take risks, fostering innovation and creating an environment that allows people to make mistakes and learn from them.

> *We need to empower our people. Once we have skilled and experienced people we have the opportunity to empower them. When you empower people you form a direct connection to innovation and creativity. We need to let people get on with the job so that they are excited by what they have to do and they produce good results for us. In my experience, micro-management and innovation just don't go together.*
>
> **Air Chief Marshal Angus Houston, AC, AFC**
> **Chief of the Defence Force, 2005**

Leading Australian Defence Force personnel on operations

3.28   The primary difference between leading people in the ADF and leading people in any complex organisation is the inherent danger and consequences associated with operational service where mistakes may lead to widespread loss of life. Leading people matters most when things go wrong, when panic threatens, when injury or death occurs and shock sets in. The ability to cope with such situations distinguishes operational leadership from even the most complex of civilian leadership situations.

3.29   Leadership on operations relies heavily on the training and development of members that has occurred before operations. ADF leaders train and develop individual, team and unit capabilities, including individual and team resilience and the ability to handle operational stress. Realistic team training in simulated environments and focused adventurous training in harsh climatic conditions can prepare members for the inevitable fear and uncertainty encountered on operations.

HISTORICAL EXAMPLE
LEADING PEOPLE ON OPERATIONS
CAPT PETER LOCKWOOD RAN 2003

HMAS *Anzac* was advised of a likely future task for the ship to proceed to a dangerous multiple threat location closer to the coast than she had been before, and then engage the Iraqi land forces with the main gun armament. This was a challenging mission in a constrained environment and one that generated apprehension.

Anzac would need simultaneously to have Special Sea Dutymen and the Precision Navigation Team closed up due to the confined navigational waters, be at action stations ready to engage Iraqi land forces, still defend against an Iraqi missile or suicide boat attack, mount additional specialist lookouts, assume a quiet machinery state due to possible sea-mines and enforce a near gas type state in the ship to counter the possibility of chemical attack.

A full personnel and material rehearsal of the activity was conducted in a safe area of the Persian Gulf to demonstrate that the task could be done safely. The unfamiliar had thus become familiar and the ships company could see that they could do it—although still apprehensive, the anxiety levels over the task then significantly dropped.

3.30   ADF leaders should resist the temptation to withdraw from adverse or life threatening situations where the mission outcomes are the primary consideration. Instead, they should continually look for opportunities to improve the odds in their favour and build resilience in themselves and their team to fortify against setbacks, stress and fear. Leading people on operations requires the development of individual and team confidence by confronting and managing the impact of fear before battle. Leaders should provide constant feedback and look for opportunities to bolster the confidence and preparedness of their team.

3.31   Competent ADF leaders demonstrate the PLICIT values outlined above. They not only live the values, but look for them in their people. Leaders take every opportunity to discuss the values with their team and peers. Leaders realise that by encouraging their people to adopt and internalise professional military values, they will heighten individual self-discipline and team cohesion. Leaders know that if each individual in a team has self-discipline and if they have confidence in their fellow team members, then that team is best placed to combat operational stress and fear. ADF leaders should look for opportunities to build resilience in themselves and their team—for example, adventurous training which is designed to develop the individual and group qualities required in battle, see Figure 3.1.

Figure 3.1: Whitewater rafting in Tully Gorge, Queensland

Leadership lessons from operational experience

3.32   With the ADF committed to operations for approximately two decades, situations have arisen from which valuable leadership lessons have emerged. Our multinational partners have had similar experiences, and have also learned some valuable leadership lessons. While a lesson is only deemed to be 'learned' after it has been subjected to rigorous analysis and actioned to cause enduring change, this section considers 'issues' raised that affect leadership, and leave it to the reader to determine what emphasis they choose to place on them, and the inferences they wish to draw.

3.33   Much of the commentary on the performance of the ADF on recent operations, particularly those in the Middle East, has highlighted the outstanding performance of our forces in challenging operational scenarios. It is reasonable to conclude that the strengths of our leaders, referred to on a number of occasions in previous chapters, have contributed to this outcome. Specific issues to be addressed below include maintaining standards, delegating without losing operational control, ensuring that preparation is tailored to operational need, and implementing mission command as it is intended.

3.34   **Maintenance of standards**. A recognised strength of the ADF over many years has been the quality of its junior leaders. Responsibility for the overall performance of units and formations remains, however, with those individuals occupying command appointments. Commanders should ensure that they do not simply rely on their orders and directives being carried out. The high standard expected of forces in combat should be similarly expected through all aspects of military employment. Leaders cannot expect their subordinates to suddenly 'switch

on' in an operational environment, if they have not received the training and conditioning necessary for higher end operations.

3.35   Leaders who expect less of their members during peacetime than on operations, and who are prepared to accept short cuts and slovenly behaviour, are failing their members. It can sometimes be the case that commanders do not want to be too hard on their subordinates during the lead in to a deployment, or succumb to the dangerous but strong pressure to 'cut their people some slack' during operations because of the exigencies of operational service. History reveals that consistency in the enforcement of high standards sharpens vigilance, diminishes non-battle casualties and is important in preventing a mission focus being subsumed by self-interest.

3.36   Commanders such as Admiral Chester Nimitz, Field Marshall Sir William Slim and Marshal of the Royal Air Force Sir Hugh Trenchard, are but a few whose success is linked to the enforcement of high standards of discipline. In particular, a focus on standards, that could be regarded as petty, were decisive in turning forces at the brink of defeat into offensively-minded and ultimately victorious forces.

3.37   There are indications that a number of casualties experienced recently in Afghanistan among multinational forces could have been avoided with more emphasis on battle discipline, a greater adherence to basic operating procedures and a more consistently vigilant approach. It is a leader's responsibility to not only establish the standard required by all members of the team but to ensure that it is maintained. Over a protracted deployment, the challenge of maintaining standards becomes greater as people normalise their situation—guarding against complacency particularly late in a deployment is a key challenge for all ADF leaders.

3.38   The frequency with which leaders correct deviance from expected standards is part of having moral courage. No one wants to be regarded as a pedant and correcting transgressions is not popular. Consequently, low standards in a unit are normally a marker of weak leadership. For leaders to display moral courage, a level of objectivity regarding difficult decisions, particularly in mission critical situations, is required. Objectivity is achieved when leaders are not compromised by overly familiar relationships with subordinates.

3.39   **Delegation of responsibility**. The ADF places trust in the professional ability of its members, and particularly in its junior leaders. As with the maintenance of standards, commanders and leaders must ensure those serving under them are not only equipped to carry out those tasks assigned to them, but that they do so in a manner appropriate to the required outcome and the circumstance of the time. Careful observation is necessary to ensure that it is not just the final outcome that is considered, but that the path to that outcome is also subject to review. While this may appear to run counter to our accepted philosophy of mission command, it should form an important part of the process. A task undertaken does not mean that it has been effectively, and safely, carried out. Leaders may delegate tasks to subordinates, but they cannot delegate their responsibilities.

3.40   **Preparation for operations**. This is arguably the most important responsibility for a leader charged with taking personnel into harms way. It is a truism that you fight the way you train, and it is up to the leader to ensure that the necessary preparation is undertaken prior to deployment. The nature of operations in which the

ADF has been involved in recent years places great emphasis on the role of the junior leader. It may be necessary to place personnel under great stress and in physically and emotionally demanding situations as part of that preparation. But it is incumbent on those leading forces into combat to ensure that they are prepared for what they are about to face. A failure to prepare is, at its worst, a failure of leadership. Conducting operations is the core business of the ADF, and forces must be prepared for what they may encounter once deployed. Preparations for operations must consider all possible outcomes associated with putting troops in harm's way.

Figure 3.2: Corporal Baird's coffin, carried by his comrades at the conclusion of his funeral service, Reedy Creek Baptist Church, Friday, 5 July 2013

3.41 **Mission command**. There is a natural tendency for leaders removed from the geographic location of an operation to seek immediate and detailed reporting of what is happening. This is often referred to as 'reach down'. In the ADF context, operations are commanded in theatre, but controlled from Joint Operations Command. A common observation in recent years from those commanding forces at the tactical level is that their ability to get on with the task at hand is, at times, affected by the constant information requests and direction from higher authority. This seems to run counter to the philosophy of mission command where a subordinate is given the task and the resources, and then allowed to get on with the job. There are a range of reasons for this level of perceived interference to arise, not the least being the need to keep Government informed and to ensure adherence to rules of engagement. The ability of remote commanders to communicate directly with individuals at the scene of action further exacerbates this problem. In some respects this becomes an issue of 'practice what you preach'. Leaders should have the confidence to implement a mission command philosophy and to provide support to those tasked to carry out assigned missions.

LEADERSHIP AND RETENTION

3.42   An issue facing the ADF now and in the future is competing for talented young Australians in a more competitive employment environment. It is clear that the most efficient way to address the effects of a competitive marketplace is to retain the talent that has already been recruited. Studies and attitudinal surveys across a number of organisations have indicated that good leadership has a profound effect on retention.

3.43   Research within the ADF supports this finding, and has found that a member's intention to stay with the Service is directly related to the behaviour of their supervisor or leader. The top retention-inducing behaviour of supervisors is the provision of information and feedback that leads to a sense of member worth and purpose. A member's commitment to stay is strongly influenced by a perceived connection between their work and the organisation's strategic mission.

3.44   Leadership is therefore the most influential variable affecting job performance and job satisfaction. The ADF needs to maintain a well tuned, long-term and integrated focus on leadership that creates the conditions for leaders at all levels and in all functions to be responsible for their people. ADF leadership plays a decisive role in enhancing employee commitment. Leader behaviours that have a direct bearing on the intention of members to stay include clearly articulating organisational goals, demonstrating honesty and integrity, providing positive feedback and setting realistic performance expectations.

> *At a time when the Army's senior leadership is struggling to find ways to retain its people the evidence suggests that the solution lies in an area on which the Army has always prided itself—leadership.*
>
> **Nicholas Jans and Dr David Schmidtchen**
> ***The Real C-Cubed***
> **2002**

TEN PRINCIPLES FOR LEADING AUSTRALIAN DEFENCE FORCE PEOPLE

3.45   Principles that underpin leadership in the ADF, first included in Army's leadership doctrine in 1973, have withstood the test of time and are directly relevant across the ADF. The principles are useful for self-assessment and developing a personal leadership action plan. They reinforce the leadership behaviours outlined above and support the observation that leadership is best taught by example.

3.46   **Be proficient**. Leaders must 'know their stuff'. Sailors, soldiers, airmen and airwomen trust leaders who are confident in their own abilities. To be confident, a leader must be tactically and technically proficient. The leader is also responsible for training subordinates. Proficiency can be attained through a combination of formal training, on-job experience and self-improvement. Successful leaders recognise that developing proficiency is a lifelong pursuit. It is the capacity to develop and improve their skills that distinguish good leaders from others. They have the self-discipline to develop themselves. Some suggestions for expanding proficiency include:

a.   studying the techniques of successful leaders and adopting the approaches that best suit

b.   seeking balance in all that one does

c.   maintaining confidence

d.   developing creativity and constantly asking the question: 'how can I, or we, do it better?'

e.   developing self-motivation to take positive goal oriented action.

3.47   **Know yourself and seek self-improvement**. To know themselves, leaders need to understand their own preferences, strengths and weaknesses, including how their behaviour affects others. This allows leaders to take advantage of strengths and to seek self-improvement to overcome weaknesses. Knowing and understanding one's strengths and weaknesses is the first step; doing something about them is the next. Leaders must take responsibility for shaping their own circumstances and experiences into success. Awareness and control allow people to respond instinctively to what happens around them.

3.48   When something happens, individuals typically have the chance to evaluate the event and their likely reaction before actually doing anything. In that time they can check what they want to do, use their imagination or creativity in choosing a response, use judgement in choosing the best course of action and apply their conscience to decide if it is right or wrong to do what they are about to do. Knowing yourself and making a conscious effort to improve, lays the foundation for knowing others.

3.49   **Seek and accept responsibility**. Leading always involves responsibility. Leaders must be prepared to accept those responsibilities when they accept the leadership role. These include responsibilities passed from superiors and the demands of subordinates. Beyond stated responsibilities, seniors expect leaders to take the initiative within the stated vision and to also train and encourage subordinates to seek responsibility. When leaders see something that requires action, they do not wait to be told to act but take responsibility. The example set by assuming responsibilities helps to shape a team. When leaders make mistakes, they accept fair criticism and take corrective action. Leaders avoid blaming someone else and accept responsibility for the actions of their team in order to keep their confidence.

3.50   **Lead by example**. Sailors, soldiers, airmen and airwomen want and need the leader to be a role model. No aspect of leadership is more powerful. If the leader expects courage, competence, candour, commitment and integrity from followers, then the leader must personally demonstrate those qualities. High, but attainable, standards should be set, and the leader should be willing to do what is required of the rest of the team, and share dangers and hardships with them. The leader's personal example affects followers more than any amount of instruction or discipline. The leader must be a model that others trust and choose to follow.

3.51   **Provide direction**. A team must understand its purpose. Each member needs to know the task to be done, the standard to be achieved and the time frames within which it is to be achieved. This understanding of purpose can be applied to leadership at the tactical, operational and strategic levels. Being able to analyse the commander's intent and operate within mission command is essential for success. In the absence of orders, the leader and the team should have the skills, knowledge

and initiative to act in accordance with the commander's vision. The following hints help leaders to apply this principle:

a.   be sure there is a need for an order

b.   use the chain of command

c.   study the military appreciation process

d.   develop the ability to communicate clearly

e.   encourage the team to seek explanation of anything which is not clear

f.   by questions and scenario-based quick decision exercises, confirm the team's understanding of orders, the context of the situation and the superior commander's intent

g.   supervise the execution of orders to ensure the intent is being achieved, but do not stifle initiative by micromanaging, and make every possible means available to the team to assist them in their task.

3.52   **Know and care for your subordinates**. Leaders need to commit time and effort to listen to and learn about their followers. Leaders strive to understand what makes their sailors, soldiers, airmen and airwomen tick and what is important to them. Leaders who show genuine concern for their team will find that they will trust and respect the leader in response. Failure to care for them during training gives the message that the leader will put little value on their lives in battle. It is insufficient to tell the team that the leader cares for them, it must be demonstrated. People have a range of needs that they want satisfied. These range from the need for food and shelter to the need for meaningful work and self-development. Accordingly, leaders should:

a.   be fair and approachable

b.   obtain as much knowledge as possible from personal records and personal contact with the team

c.   be concerned for subordinates' domestic circumstance, living conditions and work environment

d.   be fair and firm in the administration of reward or discipline

e.   provide opportunities to assist subordinates' personal development

f.   support the team with loyalty and respect.

3.53   **Develop the potential of subordinates**. By delegating authority to subordinates, a leader enables subordinates to develop their potential as leaders. When a leader is willing to delegate authority, it indicates trust in the team and fosters an environment where they seek more responsibility. It is the leader's responsibility to create conditions where subordinate's potential may flourish and to:

a.   use the chain of command

b.   tell subordinates what to do, not how to do it, and then supervise, intervening only when necessary

c.   provide opportunities for team members to perform higher duties

d.   be quick to recognise the accomplishments of subordinates, be open with praise and correct errors constructively

e.   support subordinates—have faith in their performance until convinced otherwise.

3.54   **Make sound and timely decisions**. Leaders must be able to rapidly assess a situation and make sound decisions. Delaying or avoiding making a decision creates hesitation, loss of confidence, and confusion. Good decisions made at the right time are better than the best decisions made too late. Successful leaders don't come up with the answers all the time but they do have to be prepared to endorse a decision to act when necessary. Leaders can develop their ability to make sound and timely decisions by adhering to the following:

a.   Clarify an issue and gather the facts. Don't rely on assumptions. The most frequent mistake in decision-making is trying to decide before all the facts are known. But gathering facts must be balanced with the need for timely decision-making.

b.   Practice making logical assessments of all factors before coming to a decision, even everyday ones.

c.   Plan ahead and work out answers to problems, including possible risk.

d.   Listen to your subordinates and value their knowledge. Seek their opinion and use their thoughts to assist in decision-making.

e.   Consider the short and long term effects of decisions and answer the question: is it ethical?

f.   Keep the team informed of policies and plans so that they can also plan ahead.

3.55   **Build the team and challenge their abilities**. Leaders must develop a camaraderie among subordinates that motivates them to willingly and confidently meet all challenges. Team members need confidence in the leader's ability to lead them and in their own ability to perform as a member of the team. Individuals perform better when they share the goals and achievements of the team. Subordinates gain satisfaction from performing tasks that are reasonable and challenging but are frustrated if tasks are too easy, unrealistic, or unattainable. Leaders should:

a.   ensure the team is keeping pace with the training program

b.   try to get the best training facilities and resources available and make training innovative and demanding

c.   educate subordinates in the duties of other team members and in the duties of adjacent teams

d.   let each individual know the importance of their role in the success of the team

e.   use the full capabilities of the team before requesting assistance.

3.56   **Communicate and keep your team informed**. Individuals have changed the outcome of battle using initiative in the absence of orders. Keeping subordinates informed helps them to make decisions and execute plans within the leader's intent, encourages initiative, and improves teamwork. Sailors, soldiers, airmen and airwomen who are well informed are less likely to be influenced by false rumour and their morale and confidence will be higher than if they were left in the dark. They will look for logic in orders and in a high trust environment will question things that do not

make sense. They expect leaders to keep them informed and, when possible, explain reasons for instructions. Leaders need to work hard at building these relationships, based on mutual respect.

3.57   The ADF achieves results through its people but should not do so at their expense. ADF leadership focuses as much on the characteristics of followers as it does on the attributes of leaders. Leading people in the ADF involves accepting responsibility for others, modelling values by example, developing people through praise and attempting to shape team culture. Instances of inappropriate behaviour indicate that there is still some way to go to ensure that our values and culture are universally accepted and applied. The period 2016–20 is a crucial evolutionary period which must lead to their collective acceptance and implementation in action as well as spirit. This will become a clear focus for leaders at all levels and across the Services. ADF leaders need to understand the importance of their mission, but they should also understand that if they care for, and empower, their people, results will follow.

3.58   Of perhaps greater importance are the responsibilities that ADF leaders have to prepare personnel for the rigours of operations. Operational experience suggests that the most important responsibilities for leaders on operations are to set and maintain consistently high standards, to exercise mission command without loss of control, and to ensure that personnel are as well prepared as possible for operational service.

CHAPTER 4

ORGANISATIONAL LEADERSHIP IN THE AUSTRALIAN DEFENCE FORCE

Executive summary

- Leading the Australian Defence Force involves developing and maintaining military and professional capabilities and creating the conditions for operational success.

- Although strategic leaders are generally senior officers, the actions of any Australian Defence Force member can have strategic implications.

- Strategic leaders shape capability by adapting internal systems to fit the external environment. As a consequence they are change agents.

- Orientation to the external environment is the hallmark of strategic leadership.

- Strategic leaders build and maintain Service culture by exemplifying Australian Defence Force values—they are the stewards of the organisation.

- Defence has identified the generic capabilities and behaviours required of its strategic leaders.

We must learn from the successes and failures of our past to ensure that we transition as a capable and professional force that is trusted and respected by all Australians and the region.

Air Chief Marshal Mark Binskin, AC
Chief of the Defence Force, 2014

INTRODUCTION

4.1   As with leadership generally, there are two major leadership functions in the Australian Defence Force (ADF): leading people; and leading the organisation. Leading people is covered in Chapter 3. Leading the organisation is primarily concerned with developing and maintaining the ADF's military and professional capabilities and creating the conditions for operational success. This form of leadership can also be referred to as strategic leadership. While strategic leadership is exercised across the ADF, and is affected by leaders at many levels, it is primarily exercised by the senior leadership group.

STRATEGIC LEADERSHIP

4.2   Leadership in the ADF is defined as the process of influencing others in order to gain their willing consent in the ethical pursuit of missions. While this definition

applies equally to strategic leaders, their role can be more broadly explained as providing a vision and direction to guide organisational growth and success.

Strategic leadership explained

> *The single greatest difference between leadership at the operational and the strategic levels is the need to respond to requirements that are as yet unformed in the government's collective thinking.*
>
> **Lieutenant General Frank Hickling, AO, CSC**
> **Former Chief of Army, quoted in *The Chiefs*, 2013**

4.3   By its very nature, strategic leadership has a greater focus on individuals and groups external to the immediate team or group, tends to rely on more indirect methodology, and has a capability focus that is rarely evident at the lower leadership levels.

4.4   **External focus**. Strategic leaders exercise influence over a range of individuals and groups far beyond those that are the focus of operational and tactical level leader's responsibilities. Not only do these 'others' include all those that supervise and control internal ADF systems, but they also include many people and groups external to ADF. Indeed, strategic leaders are frequently required to influence members of Government and the Australian public on a range of issues. As a consequence, they need to employ far reaching and complex social networks to affect all-round influence.

4.5   **Indirect influence**. By the very spread and diverse nature of those that need to be influenced, the effect sought by strategic leaders tends to be less direct and more distant than the influence exercised in team leadership. Strategic leaders are more likely to influence through media, policy formulation, force structure, provision of equipment and shaping work conditions than they are by face-to-face conversations.

4.6   **Provision of capability**. From the perspective of the senior leadership group, a prime focus of effort is on a key aspect of the Defence mission, namely the provision of military capability to Government—now and into the future.[22] This mission is broad and complex and involves developing and maintaining military and professional capabilities as well as creating the conditions for ongoing tactical and operational success. [23]

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[22]   The term used to describe the senior leadership team within Defence is the Strategic Leadership Group.

[23]   For further information about the Fundamental Inputs to Capability see: Department of Defence, *Interim Capability Life Cycle Manual* (2017), pp 13-14.

4.7   **Leading people and leading organisations—the differences**. The main differences between leadership at the lower level (where people are the primary consideration) and at the higher (organisational) level are shown in Table 4.1.

4.8   A significant difference arises regarding the time frame over which mission outcomes are required. Leadership at the lower levels is generally focused on short term mission outcomes, while strategic leadership can have outcomes out to 20 years or more.

Table 4.1: Comparison of leading people and leading the organisation

Leading people	**Leading the organisation**
Influence is directed towards team members	Influence is directed towards all within ADF as well as many external agencies
Influence is close and direct, usually face-to-face	Influence is generally distant or indirect
Mission is tactical or operational, normally discrete and well defined	Mission is national, providing Government with military capability and options for its employment
Time frame is short, results expected in leader's tenure	Time frame is long, results may not be seen for 20 years

AUSTRALIAN DEFENCE FORCE STRATEGIC LEADERS

4.9   ADF strategic leadership falls not just to the Chief of the Defence Force (CDF) and the Secretary of Defence, but encompasses a range of senior appointments within the Department. As mentioned previously, the ADF is required to deliver military capability to meet the requirements of Government and is required to sustain and develop the numerous systems and capabilities that meet Defence's current and future commitments. Strategic leaders are the senior officers and their staff who serve in key appointments.

4.10   Much has been written in recent years about 'the strategic corporal' (or even sometimes 'the strategic private') operating in an environment of immediate and long-range media coverage. This phenomenon has come about not so much because every ADF member has the desire to lead strategically or to shape ADF capability, but rather because the actions of any ADF member could, under certain circumstances, have strategic consequences. Modern communications and global media presence mean that the effects of tactical leadership decisions can have strategic consequences. This, however, is not strategic leadership. Ideas and imagination, not media coverage, are the currency of strategic leadership.

THE PURPOSE OF STRATEGIC LEADERSHIP

4.11   The overriding purpose of strategic leadership is to ensure that Government has at its disposal a capable defence force. As simple as this task may sound, it is an exceedingly complex undertaking.

Military capability

4.12   The difficulty in forecasting the exact nature of future warfare complicates the development of appropriate forces, both in terms of structure and equipment.

Changing Australian demographic trends, which suggest a shrinking labour market, have a significant effect on the personnel aspects of capability. Changing environmental circumstances, both political and social, compound this issue even further as uncertainty arises over the willingness and commitment of future generations to serve in the military. Despite these complexities, Government and the Australian people expect the ADF to be prepared to meet whatever circumstances may arise in an uncertain and unpredictable future. Hence, the need for clear and decisive strategic leaders.

THE ROLE OF STRATEGIC LEADERS

4.13   For many years it was accepted that there were two principal roles for strategic leaders: first, to shape the military capability required by Government to meet current and future contingencies; and second, to create the conditions for operational success, now and in the future. In the *The Chiefs: A Study of Strategic Leadership*, this theme was expanded and identified four roles that the Strategic Leadership Group (primarily CDF, the Secretary, Vice CDF and the Service Chiefs) are expected to perform. These roles are:

a.   strategic director

b.   strategic leader

c.   strategic builder

d.   steward of the profession.[24]

4.14   Of these four roles, the one that has the most clearly military aspect is 'steward of the profession'. This role requires the Chiefs to act collectively as the guardians of the Australian profession of arms and, more specifically, to serve as examples of professional standards and values within their individual Services. The reason that this role assumes such importance is that the ADF is, to its members, more than just a job; it is a 'calling', and one that imposes a significant burden on both the leaders and on those being led.

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[24]   Nicolas Jans with Stephen Mugford, Jamie Cullens & Judy Frazer-Jans, *The Chiefs: A Study of Strategic Leadership* (Canberra: Centre for Defence Leadership and Ethics, Australian Defence College, 2013), p. 25.

Figure 4.1: Leaders are responsible for shaping the capability of those under their command and creating the conditions for success

Shaping capability

4.15   Strategic leaders are responsible to develop, shape and maintain ADF capability. They achieve this in two ways: by adapting the fundamental inputs to capability (FIC) to fit the current and future external environment through strategic planning and the implementation of subsequent change; and by influencing the external environment through strategic messaging and partnerships, and professional networking. [25]

Adapting to the external environment

4.16   The ADF needs to adapt to a competitive employment environment by adjusting some, if not all, FIC. Major systems and platforms are increasingly sophisticated and operated by fewer, more technically adept, people who require greater accountability and responsibility. Facilities may have to be rationalised and supplies adjusted. The Australian demographic situation is one of the ADF's greatest strategic challenges and major change in the external environment is likely to require consequent adjustment to FIC. Adapting internal systems as a result of external pressure invariably involves change. As a result, strategic leaders are key agents of change.

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[25]   For further information about the Fundamental Inputs to Capability see: Department of Defence, *Interim Capability Life Cycle Manual* (2017), pp 13-14.

Influencing the external environment

4.17   The defining feature of strategic leadership is an orientation to the external environment. Strategic leaders must manage the relationship between the ADF and the many components of the external environment. These relationships not only include Government and its agencies but also other security agencies such as the Australian Federal Police, the private sector, the media and the public.

Creating conditions for success

4.18   Strategic leaders shape and influence the task environment of tactical and operational level leaders. They can establish the conditions for operational success by exercising influence over two key areas. In the first instance, they must align internal systems so that all elements within Defence are pulling in the same direction and members can see they are making a worthwhile contribution. Second, they must shape ADF culture and ethos so that all members identify strongly with the ADF, feel committed to it, and are proud to serve.

4.19   **Aligning systems**. A clear vision is crucial in enabling any organisation to function effectively. It provides a common focus for the allocation of resources, and is the basis for unified effort. To the extent it is shared by all members, it draws them together, thereby providing a basis for collaborative effort. CDF's vision, which followed the executive summary to this chapter, gives meaning to the work of the members in the sense of showing them that their efforts are significant when judged by reference to a higher purpose.

4.20   Over the past decade the ADF has undergone a number of renewal initiatives—driven by resource limitations, downsizing requirements and greater attention to core business. The increased use of contractors, subcontractors, suppliers and industry has resulted in increased complexity in the internal environment. Strategic leaders should ensure that the systems for which they are responsible operate effectively within this complex internal environment and remain aligned to the broader Defence mission and vision.

4.21   In achieving an alignment of effort between Government requirements and operational level outcomes within Defence, strategic leaders need to work hard to establish effective interface between the two. Government departments can delay decisions until all available information is collected from within Defence. Further, the differing nature of the information required by various departments can add to what is often considered, at the operational level, to be a lack of urgency in the strategic level decision-making process. In simple terms, operational and tactical leaders expect timely, clear and unambiguous direction. It is the role of strategic leaders to interpret strategic level ambiguity and friction and present it as operational level clarity.

Shaping Australian Defence Force culture

4.22   Perhaps the two most important stewardship roles of strategic leaders are to empower subordinates and to encourage a values-based culture. Strategic leaders should recognise and then empower experienced and skilled members. Only empowered members generate innovation and creativity. Strategic leaders should remember that junior members pay close attention to what they do, measure and reward and, perhaps more importantly, what strategic leaders ignore or overlook.

4.23   The behaviour of strategic leaders sends a very clear message to junior staff about what they think is important. For these reasons, strategic leaders need to be zealous in their efforts to maintain the historical strengths of the organisation and should be seen to clearly exemplify organisational values. They must ensure that new members are appropriately socialised and given every opportunity to consider and adopt the ADF value system. Internalising the values of the organisation leads to self-regulated behaviour that can only enhance the ADF's reputation.

Strategic responsibilities: *Pathway to Change*

4.24   Issues with the application of Defence values and culture have become evident in recent years, and measures have been put in place to ensure that are universally accepted and applied. *Pathway to Change: Evolving Defence Culture* establishes how Defence will implement cultural change in a positive manner, a process that is being led from the highest levels of Defence (see Chapter 3). It confirms that strategic leaders must not only be able to recognise when problems exist, but that they must take responsibility to put in place programs and strategies to address them.

> *Our Pathway to Change strategy builds on Defence's collective strengths while recognising that there are some cultural changes that we must make if we are to continue to mature and evolve as an institution and as a community of professionals.*
>
> *The Pathway to Change is addressed to all of us. Leaders have particular responsibilities to shape, drive and model change; but all of us must meet the accepted way of behaving every day.*
>
> *The culture change program we are committing to here takes account of and complements our wider Strategic Reform agenda. Strategic Reform and the Pathway to Change are two sides of the one coin that will produce a more capable, integrated, and consistently outstanding organisation, one that is fully inclusive, collaborative and professional in all respects.*
>
> **Secretary and the Chief of the Defence Force,**
> **'Introduction', *Pathway to Change: Evolving Defence Culture*, 2012**

4.25   While *Pathway to Change* is an immediate response to a contemporary issue, albeit it one that has emerged over a period of several decades, the responsibilities it imposes on leaders at all levels are more generally applicable to leaders within Defence now and into the future. In addressing the strategic challenges that face Defence in the years to come, *Pathway to Change* states that it will not be possible to achieve the necessary reforms through technical and structural changes; each initiative has a corresponding human dimension that must be considered.

4.26   With reference to the current state of Defence culture, it goes on to observe that there are 'parts that serve us poorly, which limit our performance, hurt our people

and damage our reputation'. It is in these areas that leaders within Defence, and particularly the ADF, must focus there efforts in the years to come.[26]

DEVELOPMENT OF STRATEGIC LEADERS

4.27   Considering the complexity and broad nature of their responsibilities, it is not surprising that the developmental needs of strategic leaders are equally complex and broad ranging. Three important sources of strategic leader development are professional military education, career progression and mentor feedback.

Professional military education

4.28   The professional military education (PME) of the ADF's future senior leaders starts early in an individual's career. Each Service delivers command, leadership and management training as part of the continuum of career courses. This training, discussed in more detail in Chapter 6, introduces the concept of strategic leadership and, towards the end of each course, focuses on Service-specific aspects of strategy.

4.29   The Australian Defence College is the principal deliverer of joint PME. The Australian Command and Staff Course and the Defence and Strategic Studies Course expose selected ADF and military officers from many other nations to a broad range of topics. These topics, which form the platform for subsequent strategic leadership learning, include:

a.   strategy and the development of strategic thought

b.   the organisation, structure and capabilities of the ADF and how these relate to Government

c.   the strategic environment in which the ADF operates

d.   regional military technology and the cultural and social fabric of Australia's near neighbours

e.   the likely threats to Australian security

f.   Australian culture, values and social trends

g.   ADF and Service culture—given that an understanding of one's culture should precede any attempt to shape that culture.

Career progression

4.30   Individuals destined for senior leadership roles have structured opportunities to broaden their professional and formal education and are exposed to a range of staff appointments. These experiences should challenge the member and provide them with the opportunity to think strategically, build organisational capability, lead

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[26]   Further information about *Pathway to Change* is in Chapter 3.

change within a strategic context, exemplify personal drive and integrity, cultivate productive internal and external relationships, and communicate effectively.

Mentor feedback

4.31   Informal and formal mentoring are encouraged at all levels within the ADF. As a form of leader development, mentor feedback is perhaps more important at the strategic level than at lower levels. Informal mentoring is generally left up to the individual to pursue but should be encouraged by groups responsible for officer and non-commissioned officer development. For example, the Defence and Strategic Studies Course maintains a voluntary mentor program whereby members are assigned a mentor of two-star rank or civilian equivalent for the duration of the course.

**HISTORICAL EXAMPLE
STRATEGIC LEADERSHIP**

Vice Admiral John Collins considered he was too young at 49 to fill the post of Chief of the Naval Staff but Prime Minister Ben Chifley was adamant that an Australian must lead the Royal Australian Navy (RAN). Collins proved to be a shrewd and capable administrator who enjoyed the respect of the higher echelons of Defence and Government. These qualities were much needed as the Navy was reshaped to meet changing strategic, social and fiscal circumstances. Collins oversaw the introduction of aircraft carriers into the Fleet as well as the involvement of the RAN in the Korean War and the Malayan Emergency. He also instigated coordinated strategic and operational planning by the RAN, Royal Navy and Royal New Zealand Navy. He followed this success in 1951 with similar arrangements with the United States Navy (USN). The resultant Radford-Collins Agreement came to symbolise the post-war primacy of the RAN's relationship with the USN.

STRATEGIC LEADER CAPABILITIES

Research into the development of strategic leaders

4.32   Recent research emphasises the complexity of the challenge facing ADF officers transitioning to strategic leadership roles. This complexity has both a quantitative and a qualitative component. Quantitatively, senior leaders need to gain a range of superior skills and knowledge to extend their existing base. These needs can largely be met by conventional methods, including formal training and education in specific areas, visits to and networking with leaders in other fields or nations, and detailed briefings. In a developmental sense, this is a simple matter—which should not diminish the fact that it demands time and energy on the part of the individual and an investment of time and resources by the ADF to provide and support these efforts. This reflects the traditional approach to professional development, not a change to it.

4.33   Qualitatively, senior leaders need to gain skills in areas that are different from those in which they have been previously trained. Two specific areas are crucial:

a.   **Emotional intelligence.** The last two decades have seen significant advances in developing an understanding of what emotional intelligence (EI) is, as well as the impact of leaders with higher or lower levels of EI on

organisational climate and leadership effectiveness. What differentiates exceptional leaders is their mastery of emotional and social intelligence; that is, self awareness, social awareness, self management, relationship management and effective decision-making.[27]

b. **Metacognition.** This is defined as higher-order thinking that enables understanding, analysis and control of an individual's cognitive processes, especially when engaged in learning. Metacognition is the extent to which individuals demonstrate awareness of their understandings, and their ability to re-evaluate and adapt their understandings over time in the light of new information. The skill facilitates flexibility in creative problem solving, particularly in how information is used and in the selection of solution strategies that correspond to different types of problems.

4.34   These qualitative skills cannot be reduced to the level of cognitive knowledge, the acquisition of which is a technical problem resolved by study and knowledge acquisition. In contrast, the development of EI and metacognitive skills is an adaptive problem resolved by experiential learning.[28] Failure to master the qualitative component creates much greater risk than failing to master the quantitative one. This is partly because others within a leadership or command team can mitigate quantitative information gaps, by providing subject matter expertise, technical advice and support. Notwithstanding this, a failure in the qualitative domain (EI or metacognitive skills) is high risk because of the increased likelihood for major decision failures or damage to interpersonal relationships and organisational climate.

4.35   There are skills, mind-sets and attitudes needed to be effective at the strategic level of Defence which are not necessarily required (or even desirable) at the tactical and operational levels. Significantly, there is a key transition from O6 to O7 where the senior roles of strategic director, leader, builder (or manager) and steward must be harnessed by emerging senior leaders to meet institutional performance requirements.

4.36   The environment in which strategic leaders function is highly complex. It is characterised by broader responsibilities, a lack of certainly, a wide range of interpersonal relationships and longer time spans over which outcomes must be achieved. In general, strategic leaders are responsible for managing large ADF systems and sub-systems, ensuring their efficient and effective internal management and their adaptability to meet future requirements. Moreover, as a consequence of their extremely broad scope of responsibility, strategic leaders operate in a social environment consisting of numerous collaborative relationships, as well as competing interests and points of view, and requiring the application of multi-directional influence.

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[27]   Emotional intelligence is discussed in more detail in Annex 1A.

[28]   Adaptive challenges arise when a deeply held set of beliefs and values need to alter if the organisation or individual is to change thinking and action patterns. Adaptive challenges are hard to meet and failure is common.

4.37   The defining aspect of strategic leadership is the requirement to sustain and develop, now and in the future, the support systems and capabilities that the ADF requires to meet the military needs of Government. In broad terms, the role of strategic leaders is to shape future capability by adapting ADF systems to the external environment, influence the external environment, align internal systems and shape ADF culture. It is also important that, in achieving this outcome, CDF, Vice CDF and Service Chiefs maintain a focus on their responsibilities to serve as the 'stewards of the profession'. These leaders are responsible to set and maintain the standards and values that form the basis of the profession and the organisation into which military personnel voluntarily join.

CHAPTER 5

CONTEMPORARY ISSUES FOR LEADERS

Executive summary

- Australian Defence Force culture and subcultures can be major barriers to an aligned and adaptable defence force.

- There are differences in the way that the three Services function and these influence the manner in which leadership is exercised.

- Dysfunctional leadership may generate short term outcomes but rarely leads to long term success.

- Authoritarian and coercive leadership styles can suppress the moral development of subordinates.

- As far as possible, modern militaries need to reflect the diversity of the societies they defend.

- Defence must continue to develop and implement strategies and processes to ensure that there is cultural alignment, particularly as it relates to diversity, across the organisation.

> *Every day across Defence we hear stories of leaders embracing flexibility, of our people supporting each other to reach their full potential and of men and women working together to ensure security of Australia. But we are also aware that the experience that women have in Defence is not consistent. For this reason…we are calling on each of you to share our resolve to ensure that Defence is an employer of choice for all Australians.*
>
> **Air Chief Marshal Binskin and Mr Richardson**
> **Chief of the Defence Force and the Secretary of Defence, 2015**

INTRODUCTION

5.1   The transformation of the working environment in the latter part of the twentieth century, particularly changes arising from developments in information technology, has resulted in dramatic changes to way organisations are staffed and operate. The new realities of technology intensive, knowledge-based processes have specific implications and challenges for the Australian Defence Force (ADF). These challenges invite a re-evaluation of basic values, attitudes and assumptions that together influence the culture of Defence.

CULTURAL ALIGNMENT

5.2   An important role for strategic leaders is to shape ADF culture (see Chapter 4). Typically, military organisations are characterised by hierarchical structures, strategy formulated at the top, centralised decision-making and a rigid, or at least conservative, culture. These organisational characteristics, although effective for producing reliable and predictable outcomes, are not necessarily well suited for

dealing with the challenges of the modern world. Organisations that are adaptable, flexible and responsive are more likely to prosper in today's environment. The term 'learning organisation' has been used to describe organisations that demonstrate these characteristics.

Defence as a learning organisation

5.3   Strategic leaders recognise the need to emphasise behaviours that typify learning organisations. This is evident through the New Generation Navy and the Royal Australian Air Force New Horizon programs. The latter program, for example, has been developed as a coordinated response to *Pathway to Change: Evolving Defence Culture*. It stresses the need to improve personnel management systems and introduces behavioural expectations integral to personnel performance management. In the broader sense, learning organisation behaviours include:

a.   encouraging critical and creative thought

b.   taking appropriate risks to explore opportunities

c.   creating a climate conducive to individual and team learning

d.   encouraging learning from mistakes rather than a culture of blame

e.   providing incentives for learning, experimentation and innovation.

Barriers to cultural alignment

5.4   Chapter 3 discusses some aspects of the different Service cultures and suggests that an appreciation of the three cultures is necessary when leading in the joint environment. Although few would suggest that the Service's cultures should be exactly the same, most would agree that no matter what the culture, all Defence members should be pulling in the same direction, share the same sense of purpose and agree on appropriate methods to achieve tasks.

5.5   Some of the barriers to cultural alignment in the ADF (or habits that allow members to pull in different directions) include an entrenched sense of 'tribalism', alternative value sets and even the normally positive 'can-do' attitude.

5.6   **Tribalism in Defence**. Service cultures develop from a long history of operating in their respective environments—sea, land and air. More particularly, these cultural differences flow from distinctive features of unit leadership and employment within the Services. These differences need to be recognised by senior leaders, particularly those leading joint organisations, and be accepted for the wider benefits they bring to the ADF. While loyalty to an individual's Service is both a natural and reasonable phenomenon, leadership based on a sense of superiority of one Service over another must be discouraged, as it only serves to entrench the damaging aspects of tribalism within the organisation.

5.7   **Service differences.** In the Navy, the core element of professional identity is at sea. In an Army unit, leadership is more dispersed and the art of land warfare is the core element of professional identity. In an Air Force squadron, where aviation technology is a critical component, professional identity is determined through technical competence, regardless of employment group.

5.8   **Intra-Service distinctions**. Intra-Service distinctions create further sub-cultures within the Services. It is the euphemistically named 'war fighters', from all three Services, who have traditionally occupied the upper echelons of the military hierarchy, and it is from those groups that the ADF leadership has traditionally been drawn. The range of employment groups in each Service also bring idiosyncratic aspects that contribute to different sub-cultures.

5.9   **Alternative value sets.** Defence's values and those of the Services are roughly congruent and, when combined with other Australian values such as trust, fairness, compassion, responsibility and respect, form a solid basis for leadership. The cultural alignment issue associated with values is not so much to do with the various lists of values, but how these values are sometimes sidelined by, or even mutate into, alternative value sets.

5.10   It is unfortunate that some Defence values, such as teamwork and integrity, are not necessarily the values that are rewarded within some ADF subcultures where competition, hierarchy and power continue to exercise excessive influence. The rewarding of these alternative values can, if not checked, push aside or sideline Defence values. Even more telling is when espoused values are publicly stated but privately punished. Instances can arise when members reporting cases of unacceptable behaviour on the part of colleagues or superiors are actually supporting Defence values, but are subsequently ostracised or suffer personal abuse from within the organisation. Such occurrences serve to reinforce the perpetuation of low standards and poor behaviour, and mitigate against the adoption of positive value sets.

5.11   Essentially, there remain invisible social forces, or what can be described as unwritten and informal rules of social order, that continue to make it difficult for individuals to act in the way they believe to be morally or ethically correct. A breach of the collective understanding of normal behaviour within the group can draw angry reactions.

5.12   Value conflicts arise, not so much when there is a choice between good and bad, but rather when there is a choice of the least bad option. Although there is no 'golden rule' for knowing what ought to be done in these situations, two principles can guide behaviour and responses in this regard:

a.   ensure integrity is considered first as a value when confronted with a situation that creates personal conflict

b.   consider how actions would appear in the news or on social media and its bearing on individual and the ADF's reputation.

5.13   **Can-do attitude.** The military emphasis on mission achievement, irrespective of the associated human performance constraints and costs, has been termed the 'can-do' attitude. In the ADF, the ability to achieve a task or mission on time, no matter the resource or human challenge is a source of professional pride. This approach has been further explained by military commanders and politicians alike as being reflective of the capability of the ADF to 'punch above its weight'. The reality is that great pride is taken in achieving outcomes beyond that which should be expected from the force or asset allocated to the task. It is actually at odds with the mission command approach where the necessary resources to achieve a task are

provided and the subordinate left to complete the task. As a one-off circumstance this can be necessary and acceptable; however such an approach should not become the accepted norm.

5.14 Teams and individuals often perform beyond their expected limitations when challenged and guided by experienced leaders. However, such challenges can generate trade-offs, and in safety-critical domains these compromises may eventually come at great cost in the form of accidents. Members routinely applying a can-do attitude may be blind to the subtle build-up of risks, shortcuts or exhaustion that can align to cause injury or death. This can-do attitude has been seen as a partial cause for some of Defence's worst peacetime disasters. These include the crash of two Black Hawk helicopters in 1996 resulting in the death of 18 servicemen, the Air Force deseal/reseal program which ran for decades, and the crash of Black Hawk 221 on board HMAS *Kanimbla* in 2006.

5.15 **Pressure to achieve assigned tasks.** Associated with this can-do attitude is the pressure that can be placed on subordinate leaders to accomplish tasks. Occasions can, and do, arise where a subordinate expresses concern over a lack of resources or the inadequacy of preparatory training for a task. While these concerns may cause the subordinate to be reluctant to undertake the task, they may become worried that they would be replaced by someone who is prepared to give it a go, regardless of the consequences. Despite having reasonable ground for refusal, based on professional experience and an appreciation of the circumstances, the subordinate leader could hold genuine concerns that such a response may be detrimental to future career and employment prospects.

5.16 **Balancing can-do with risk management.** The alignment that is required to deal with the can-do attitude relates to balancing the productive aspects of team and individual challenge with a sensible risk management approach. Leaders should continue to stretch their teams but be aware of team stress and safety. Members must be trained to recognise conflicting goals and to seek or establish specific priorities among them. They must feel professionally respected and proficient enough to assertively communicate resource implications to superiors and be confident that their input and advice will be considered, if not actually accepted.

5.17 Culture has been incorrectly described in some parts of the ADF, quite simplistically, as the 'way things are done around here'. Accepting the premise of this phrase as representing the essence of ADF culture, then cultural alignment should be focused on making sure that 'the way' is invariably safe, based on agreed ethical principles and that the 'things' are of value—not only to the group but to Defence, Government and the Australian people.

Figure 5.1: Effective leaders must feel respected and proficient enough to assertively communicate resource implications to superiors

DYSFUNCTIONAL LEADERSHIP BEHAVIOURS

5.18   Although people like to think that leadership behaviour is always for the good of the group, organisation and wider community, some leadership behaviours, either intentionally or otherwise, result in negative or unethical outcomes. The ethnic cleansing practiced by Adolph Hitler in World War II and by Slobodan Milosevic in Kosovo are extreme examples.

5.19   Australians would like to believe that similar practices could never happen in a society such as ours that values tolerance, respect, diversity and the notion of a fair go for all. This view should, however, be tempered by the knowledge that Australia's early history did in fact include such an occurrence, albeit on a numerically reduced scale, with the virtual extermination of Tasmanian aboriginals in the 1800s. In a completely different vein, a number of Australian leaders in public life have in recent times succumbed to greed, a sense of self-importance and moral indulgence that has resulted in the abuse of those they sought to lead and influence.

5.20   There are three areas of dysfunctional leadership that Defence needs to remain vigilant against:

a.   narcissistic and self-serving leadership

b.   an aggressive task focus to impress supervisors

c.   the suppression of moral development in subordinates by the overuse of coercive and autocratic leadership styles.

Self-serving leadership

5.21   Leaders must guard against their own sense of self-importance and recognise that leadership is about serving others, not serving themselves. As noted in Chapter 1, all leaders need considerable self-confidence, ambition and some amount of narcissism to strive for leadership positions. Too much leader narcissism, however, can be very damaging to subordinates and, over time, the organisation. Overly narcissistic or self-serving leaders tend to personalise their vision of the organisation, pursue results for their own benefit and are contemptuous towards those who do not agree with them. The behaviour of self-serving leaders is not necessarily brash or loud but can be very subtle.

5.22   Self-serving leaders are very good at image management and tend to surround themselves with subordinates who readily agree with their every decision. They tend to use stereotypes to describe other groups and ingratiate themselves with their followers through an appeal to the group's uniqueness (see the previous discussion of the pitfalls associated with tribalism in the ADF). They are able to influence others by emotional appeals rather than rational argument. They are therefore more likely to engender envy, greed, hate and conflict rather than altruism, harmony and cooperation. Tribal cultures with strongly held but exclusive norms, appeals to racism and appeals to elitism all point to self-serving leadership.

> *It is also possible to produce lists of leadership traits that are at best counter-productive and at worst destructive. Abuse of power, overly authoritarian behaviour, lack of appropriate or necessary consultation before making decisions, and behaviour that is not in line with Navy values would be high on such a list. Bad leadership has important implications, now and in the future, for its impact on people and their willingness to stay and perform in the Navy.*
>
> ***Chief of Navy Command Guide**, 2003*

5.23   Defence condemns self-serving leadership but supports values-based leadership where the values of the leader reflect social responsibility and benefits the greater good. As highlighted in Chapters 3 and 4, leadership is about serving other people and the organisation.

Aggressive task focus

5.24   At times, leaders are required to drive their subordinates very hard to achieve tasks. This drive may be to meet an urgent contractual deadline or to satisfy an important political imperative. The actions of a leader with a continuous and unrelenting drive to achieve can be counterproductive over the long term. Such individuals can be effective at getting tasks completed but can often hurt people in the process. Impressive short-term results are achieved but with a legacy of long term damage to the individuals involved—often a legacy that is passed on to the next leader to rectify.

5.25   For many years, leader behaviour has been viewed along two independent variables, one being a task focus (or structure orientation) and the other being a people focus (or consideration orientation). A task focus includes behaviour in which

the leader defines roles, outlines expectations and pushes for achievement. A people focus includes behaviours in which the leader encourages participation in decision-making and promotes two-way communication.

5.26   Not surprisingly, research has shown that a leader who shows high people focus is rewarded with lower subordinate grievances and lower turnover. Conversely, a leader who shows high task focus (alone) is faced with high subordinate grievances and turnover. What is interesting, however, is that the level of grievance and turnover stays constant when the leader initially establishes a high people focus and then increases task focus or structure.

5.27   The lesson for the ADF is that leaders should first focus on individual consideration and then build task structure on this foundation. Within the Service, there will always be periods of high operational tempo. These times are more easily weathered when leaders have established a foundation of consideration. In terms of retaining a productive and satisfied workforce, the ADF leader must first focus on their people.

Suppression of moral development

5.28   In the early pre-conventional stage of moral development, individuals define good behaviour as behaviour that is praised or rewarded and bad behaviour as behaviour that is punished.[29] A young child believes that stealing is wrong, not because of broken trust or property concerns, but because of the punishment associated with being caught. Any discipline system that relies totally on reward and punishment to control its members reinforces this pre-conventional stage and retards further moral development within its members.

5.29   Coercive or autocratic leadership styles also rely heavily on obedience, reward and punishment and similarly retard moral development. When members are encouraged to obey orders for fear of punishment rather than an appreciation of the order's purpose, they are in effect suspending any moral judgement. As indicated in Chapter 2, the moral development of military members is often suppressed by the predominant leadership patterns associated with military service.

Balancing leadership styles

5.30   The ADF encourages a balance in leadership styles rather than an overuse of coercive or autocratic styles. It is a leader's responsibility to encourage individuals to break free from the shackles of the early stage of moral development and progress towards a more internally controlled state. When certain values are internalised and used to regulate individual behaviour, the need for regulations and constant supervision diminishes. Not surprisingly, there is a similar progression in the development of ethical or moral reasoning. At higher levels of moral development, an individual stops defining right and wrong in terms of rules and punishment and

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[29]   The term 'pre-conventional stage' refers to a stage of personal development in which individuals have moral reasoning that emphasises obedience, strive to escape punishment and are generally self-interested.

instead develops internal moral principles that define right and wrong from a universal values point of view.

5.31   This is why the inculcation of civil and military values is so important. This was demonstrated in the simple example given in Chapter 2 where an individual decided against bullying a subordinate because of the value placed on human dignity rather than through any fear of punishment. A leader's responsibility in the development of their people involves both modelling moral and values based behaviour and encouraging discussion and reflection on moral or ethical dilemmas.

DIVERSITY

5.32   Diversity is broader than the labels of gender, age, language, ethnicity, cultural background, disability, sexual orientation and religious beliefs; it is a way of thinking and an approach to delivering the best results. Diversity provides the varied perspectives needed to tackle complex problems and come up with innovative solutions. Recognising this, Defence is committed to creating an inclusive environment which values, respects and draws on the diverse backgrounds, experiences, knowledge and skills of our people.

5.33   **Diversity in the ADF.** The strategic challenge for the ADF is to strive for greater representation of groups that are currently underrepresented so that it will, in the future, better reflect the make-up of Australian society. At the tactical and operational levels, leaders need to recognise that each person brings value and benefit based on their unique characteristics, and that a diverse workforce enhances the operational effectiveness of the ADF.

Gender

5.34   An examination of diversity and leadership needs to consider the evolving role of women across ADF employment categories and throughout the command chain. In the past, women have not always received the same opportunities for career progression enjoyed by men. Women in the ADF have experienced a male-dominated warrior culture that has created many barriers to women succeeding.

If you'd asked me when I joined or in my early years whether I could ever envisage myself in charge of the bridge of a warship, or controlling F/A-18 fighter jets from the operations room of a frigate, or firing missiles, shooting large calibre guns and boarding ships, I would have likely told you they were 'boy' things to do. But by the end of ten years in the Navy I'd done all that, and subsequently went on to command a patrol boat, be the second-in-command of a frigate operating off Iraq during terrorist suicide boat attacks, and then command HMAS Perth *from 2007 to 2008. And I'd do it again given a chance. The fact that I was a woman amongst the first of those to do these things in our Navy was a novelty (and sometimes pressure) that I felt diminished with every step forward that I took.*

Captain Michelle Miller, RAN
***Winning at Sea: The Story of Women at Sea in the RAN*, 2013**

5.35   Women comprise a significant part of the overall uniformed workforce within Defence, representing 15.4% of the total.[30] This figure is much higher within the APS component of Defence, where the figure approaches 41%. The number of women in senior ADF appointments, Colonel (equivalent) and above, remains below the organisational average and is currently around 11.4%, which is lower than their overall numbers would indicate is reasonable.

Figure 5.2: ADF leaders at all levels, both men and women, need to address the range of cultural issues that prevent women from achieving equal representation and acceptance in Defence

5.36   The number of women in the Defence Senior Executive Service (the APS senior Defence hierarchy) is higher, at 28%, although that it is below the levels in other Government departments. This would suggest that the ADF, from an organisational perspective, is failing to recognise the contribution of women and their professional capabilities. Care needs to be taken, however, to avoid taking a simplistic approach to this issue. Policies and programs that seek to redress this imbalance must be developed and implemented with a long term outcome in mind, rather than to achieve short term solutions.

5.37   The ADF has come a long way in terms of the representation of women. However, there is now the challenge of ensuring that the perspective offered by women as well as other diverse groups, are equally accepted and valued. Increasing

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[30]   Source; Defence People Group. As at 01 Jan 16, the figures for each Service were: Navy 18.8%, Army 12% and RAAF 18.8%.

the proportion of women in the ADF is a long-term strategic aim, but the more immediate requirement for ADF leaders at all levels is to change prevailing culture so that the ADF is more accepting of diverse leadership styles.

Cultural diversity

5.38   The impact of cultural diversity on leadership is perhaps not so clearly understood. One reason for this may be the culturally narrow base on which the contemporary leadership discourse has developed. A discourse that is dominated by the Anglo-American world, and to a lesser extent Western Europe, cannot be presumed to be easily transferable to Asian, Eastern European, South American or African contexts.

5.39   Perhaps the most significant constraint on the constructive mobilisation of the broader ADF personnel base is ethnocentricity. This relates to the belief in the intrinsic superiority of one's own cultural norms. Unfortunately, this is also often accompanied by feelings of paternalism, or even dislike and contempt for other groups. Cultural diversity aids a more adaptable ADF; a force that is more able to transform to meet the large variety of regional tasks expected in the future.

5.40   Leaders can promote diversity in all forms by examining their own assumptions and recognising that acceptance of the values of others benefits the organisation. An organisational approach is necessary to ensure that positive outcomes are realised. Programs that aim to acknowledge the benefits that cultural diversity can offer the ADF must, therefore, require a culture that values diversity. This can be achieved, at least in part, through the creation of structures, systems and processes that support diversity, and the implementation of training that promotes awareness of benefits that diversity can bring. For these strategies to succeed, active support by senior leadership is fundamental. Some examples of how diversity can benefit the ADF include:

a.   at the system level, embracing diversity as a policy, supports resource acquisition through the benefits of a reputation as a preferred employer

b.   at an operational level, the insight and cultural sensitivity that people from other cultures can bring to multinational operations

c.   at group level, greater creativity and less conformity is possible when accessing diverse perspectives

d.   within teams, better problem solving with the increased range of perspectives and knowledge offered through cultural diversity.

5.41   **Leader responsibilities.** The ADF comprises members from across society and from a broad range of backgrounds, and, as discussed earlier, will face challenges regarding gender and culture in the coming years. Each member of the ADF has their own views, opinions and prejudices based on their backgrounds and social origins. Leaders however, must accept the diverse nature of the group they are leading and treat all members of the group fairly. Personal prejudices must not be allowed to affect the manner in which leadership and the command function is exercised. This responsibility exists across the organisation and at all levels within the command and leadership hierarchy.

5.42   The contemporary challenges facing the ADF require skilled and effective leadership at all levels. These challenges encompass a broad spectrum of issues and developments, including advances in technology, changes to the demographic composition of the ADF, and the need to eliminate behaviours that are out of step with Defence values and culture. Top down leadership to rectifying areas of weakness are necessary.

CHAPTER 6

DEVELOPING AUSTRALIAN DEFENCE FORCE LEADERS

Executive summary

- The Australian Defence Force recognises that leadership ability is a function of an individual's potential, motivation and developmental processes.

- Leadership development is a lifelong learning process.

- Leaders in the Australian Defence Force are developed through a combination of exposure to other leaders, mentoring, coaching, formalised education and training, performance appraisal and promotion.

- Education and training is used to deliver fundamental leadership knowledge, skills and attitudes through a continuum of career courses.

- Character development is the main focus of Australian Defence Force leadership education, training and development.

A strong understanding of one's self and a solid framework of principles underpin good ethical decisions, which is why the ADF invests significant time and energy to assist our leaders in developing a strong ethical foundation. It begins with our ab initio *training and continues throughout one's military career.*

Air Marshal Mark Binskin, AC
Chief of Defence Force, 2014

INTRODUCTION

6.1   In the study of military history, leadership is often credited as one of the decisive factors on the battlefield. Time and again, superior forces have been defeated by a smaller but better-led foe. In simple terms, effective leadership can serve as a 'force multiplier' in battle and greatly increase the chances of achieving victory. It is not surprising, therefore, that military forces have continued to seek an understanding of the nature of leadership, and the principles behind the education, training and development of effective leaders. Bearing in mind the relatively small size of the Australian Defence Force (ADF), and recognising the potential force multiplier effect of effective leadership, the issue of superior leadership education, training and development is a crucial one for the ADF.

SELECTING FUTURE LEADERS

6.2   Education, training and development are distinct, yet related, processes. Education and training involves the conduct of formalised sessions, exercises and other planned activities as part of a structured program or continuum. ADF leadership education and training appear in the rank progression continuums conducted by the single-Services. Developing leaders involves a process that integrates professional

military education and training, mentor and peer interaction, career progression and operational deployments. The broader life experience of family, non-military education and social interaction, also contributes to the development of leaders.

6.3   Leadership potential is one trait that is considered during the selection process for ADF entry. The fundamentals of leadership are delivered on initial courses, and assume greater significance as individuals progress through their careers. The inculcation of Service values is an example of leadership education, training and development working hand-in-hand to produce a desired outcome. Service values are introduced in simple terms and in easily understood concepts during initial training and form the basis for behaviour and action throughout a member's career.

6.4   The ADF places significant emphasis on leadership qualities when selecting people to train as leaders. Two of the key areas that are considered during this process are the leadership potential displayed by the individual, and their motivation to accept the responsibilities that come with leading others. This process is not restricted to initial entry into the ADF, but continues throughout their career as they gain experience and progress through the ranks.

Leadership potential

6.5   Psychologists agree that certain traits do indicate leadership potential. These traits, discussed briefly in Chapter 1 and expanded on in Annex 1C, include cognitive ability, self-confidence and an absence of neurosis. The ADF considers these traits and other psychological capabilities during the initial ADF selection process to ensure new members have the potential for leadership.

Motivation to lead

6.6   Demonstrating leadership potential is not sufficient in itself to warrant selection for appointment to ADF leadership positions. Many individuals have the psychological capabilities to become leaders but, for a variety of reasons, choose not to accept that responsibility. Some individuals prefer to remain part of the group and as a consequence shun the opportunity to assume a leadership role, which would take them out of the environment in which they are most comfortable. Others simply do not want the responsibilities and additional burden of leadership.

6.7   The most effective leaders, on the other hand, are those that have both the desire and motivation to lead. Their motivation may vary according to the situation (some may be happy to lead in non-vocational settings, such as on the sporting field or in a social situation, but are not so comfortable assuming a leadership role in their work environment) but effective and confident leaders are generally those with high levels of self-esteem and self-confidence. The ADF endeavours to select people who have the potential to lead others, and employ developmental intervention techniques that focus on enhancing their self-esteem and self-confidence. This benefits the individual and the organisation through ensuring that leaders at all levels maintain the necessary motivation to be effective in carrying out their responsibilities.

6.8   Potential and motivation are not, in themselves, sufficient to enable leaders to be effective in the long term. A young footballer with great natural skills (potential) and a desire to play at the highest levels of the game (motivation) will show improved

performance through participation in a training program in a professional team environment. So it is the case with young leaders, where training and development will fine tune and enhance their leadership performance. It is in the area of formal leadership education, training and development (as opposed to the innate qualities of leadership potential and motivation) that the ADF applies the greatest effort.

6.9   Considerable leadership development has already taken place before employment in the ADF. Leadership development, like character development, starts in early childhood. Parental, family and peer influence, as well as education, social activities, sport and other childhood experiences, all influence a future member's self-esteem and motivation to lead. Pre-ADF work experience, social responsibilities and civilian mentors further shape early adulthood leadership development. The ADF recognises the qualities that potential members already possess, and aims to build on this leadership experience and development throughout their career.

LEADERSHIP DEVELOPMENT IN THE AUSTRALIA DEFENCE FORCE

6.10   The modern approach to military leadership had its genesis during the latter part of World War I, where the traditional manner of selecting commanders and leaders was found wanting. For Australians in particular, World War I ended any notion of there being some inbred superiority based upon class distinction. The war itself demonstrated the inadequacy of that traditionally accepted leadership model, and served to reinforce the need for leadership based on ability and experience.

6.11   Unprecedented numbers of people from all walks of life joined the military and large numbers progressed through the ranks to occupy leadership roles at all levels. Their performance strengthened the conviction that rank was no longer determined by social standing, and that leaders could be developed. This resulted in widespread debate, study and speculation on how future leaders should be trained and developed.

> *Within a few months of graduating from Duntroon in 1968, I found myself, like many young men of my generation, fighting a war in Vietnam. What perhaps made my situation different from most—though by no means unique—was the fact that at the age of 22 I was in very real, practical terms responsible for the lives and wellbeing of 30 other Australians—an infantry platoon of soldiers in our Army's 9th Battalion. While Duntroon had gone a long way to preparing me for this role, the stark actuality of that responsibility was initially very confronting. An acute awareness of that responsibility has remained with me always.*
>
> **General Sir Peter Cosgrove, AK, MC, KStJ**
> **Governor-General of Australia**

Sources of leadership development

6.12   As discussed earlier, leadership ability is developed through exposure to a range of experiences, beyond that which exists in the military. This is recognised by the ADF, and programs are in place to offer senior military leaders exposure to the civilian work environment through job rotation and mentoring programs. Other methods used to improve leaders include careful career management, selection for

operational deployment, formal leadership education and training, and the opportunity to reflect on their own, and other, leadership performance.

6.13 **Job rotation**. ADF members usually rotate through jobs every two to three years to gain broad-based experience. In some cases this occurs more frequently. While this may reduce the opportunity to gain valuable job-related expertise, these rotations expose members to a variety of supervisors from which valuable leadership lessons, both good and bad, can be learned.

6.14 **Mentoring**. The ADF encourages mentoring and coaching, whether formal or informal. The provision of frank and honest advice and guidance from trusted coaches and mentors, with no fear of repercussion, is a powerful tool for leadership development. Leaders at all levels are able to receive valuable feedback and learn about their leadership strengths and weaknesses in a non-threatening manner.

6.15 **Formal leadership education and training**. All three Services conduct formal leadership training, commencing at recruit and officer entry establishments and continuing at intervals throughout a member's career. Adventurous training forms an important part of this training.[31]

> *Within an operational context, the skills I picked up from adventurous training had to do with ground appreciation, weather analysis, group dynamics—particularly when that group is afraid—and thinking logically under pressure. These skills had a direct bearing on my performance in East Timor. Certainly, in the 02 August 2000 contact in which two enemy were killed in action, my ability to overcome personal concerns and motivate the lads, I believe, was influenced by being under similar pressures in adventurous training situations...Confidence in yourself is the biggest issue, and its my belief that adventurous training has had a direct effect on my competence as a platoon commander.*
>
> **Captain Michael Humphreys, 2005**

6.16 **Career progression**. By its very nature career progression involves a gradual increase in responsibility, for both the number of subordinates being led, and the range of activities being undertaken. It is directly related to the rank of the appointment. The considerable responsibilities associated with close face-to-face leadership remain, while the additional responsibilities of distant leadership are added as individuals move towards strategic leadership roles.

6.17 **Additional responsibility**. There are many types and forms of additional responsibility and they can be used to aid the development of leadership abilities. The ADF encourages participation and leadership in team sports and provides opportunities for individuals to lead in social and communal living situations. In the

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[31] Adventurous training is an activity of a challenging physical and mental nature, designed to develop those higher individual and team qualities, such as overcoming fear and stress, which are necessary during operations and combat.

more structured work environment, the allocation of higher duties or acting rank provides individuals with an opportunity to develop a wider range of personal leadership strategies and styles.

6.18 **Performance appraisal**. ADF performance appraisal is a continual process, and requires a formal evaluation of each individual's performance. This is undertaken, in writing, at least once per year. Interim reports and regular feedback form an important part of the process. Appraisal reports are a vital component of the career management system, including the selection of individuals for promotion and command. They provide a record of assessments of performance; a statement of development requirements and wishes; the means for members to understand their strengths and weaknesses, as assessed by their supervisor; and to identify potential areas for improvement and self-development.

6.19 **Operations**. Perhaps the most confronting, and many would say the most professionally rewarding, environment for leadership development is that experienced by ADF members on operations. It is in that environment that the ability of a leader to influence their subordinates is most severely tested, and their personal values and behaviours held to account.

6.20 **Officer/other rank relationship**. Junior officers draw extensively on the experience and professional knowledge of the senior other rank in their team, particularly in the years immediately following commissioning. While this cannot be described as a formal mentoring relationship, it does offer the young leader an invaluable source of advice and guidance. This relationship becomes more formal and of even greater importance between the commander and the senior other rank at unit level, and extends all the way up to the Chiefs. Commanders prepared to listen to, and consider, the advice of senior other rank personnel are inevitably better able to effectively exercise leadership in all environments.

Leadership outcomes

6.21 The ADF has, by all objective assessments, performed very well across a range of operations in recent years, with these results reflecting the high standards of leadership being displayed throughout the organisation. Further, ADF surveys continue to show that a majority of respondents are satisfied with the leadership provided by their immediate supervisors. Even though it remains difficult to establish a direct link between particular leadership development interventions and down stream leadership successes, the ADF is confident that the development programs that it currently supports are effective in developing the leadership skills of its members.

FORMAL LEADERSHIP EDUCATION AND TRAINING

6.22 Effective leaders require self-confidence and motivation, with these being the fundamental qualities on which their ongoing development is based. Recognising this, the ADF implements a formal process of leadership education and training to improve leaders across the organisation, based in the first instance on the need for individuals to be proficient in their area of expertise.

Competency based training

6.23   Within the ADF, competence is described as the ability to perform activities within an occupation, function or role, to the standard required in that employment. The concept of competence focuses on what is expected of an individual in the workplace rather than on the learning process itself. In the ADF, the workplace can vary from an office desk in a headquarters to a submarine 200 metres below sea level. Competence also includes the ability to transfer and apply skills and knowledge to new situations and environments.

Learning domains

6.24   Knowledge, skills and attitudes are three components of competence that are recognised within the ADF. These components have been adapted from the cognitive (knowledge), psychomotor (motor skill) and affective (attitudes, values and beliefs) learning domains, outlined as follows:

a.   The cognitive domain covers topics such as leadership theories, leadership models and the conceptual aspects of leadership—such as the difference between leadership and management.

b.   The psychomotor domain is less significant but covers the physical aspects involved in communication such as body positioning, voice projection and facial expression. These skills are relevant to all inter-personal activities such as conducting meetings, effective listening, conflict resolution and giving praise and reward.

c.   The affective domain embodies interests, attitudes, values and the development of appreciation. It covers self-confidence, belief in one's own ability, adaptability, integrity, empathy, the ability to handle fear, conscientiousness and many other inter-personal characteristics. The affective domain is the dimension on which the bulk of ADF leadership programs focus.

Values inculcation through the affective domain

6.25   Since the affective domain provides the key to understanding individual motivation, group dynamics and inter-personal relationships, it is the most important in leadership development and training. It is through training focused on the affective domain that values are inculcated, character is developed and self-discipline eventually replaces imposed discipline.

6.26   **External control of behaviour**. Discipline is the traditional military approach used to control member behaviour. This external form of behaviour control is required when members do not understand what is required of them, when members are unwilling to apply the effort required to achieve a task or when members are unwilling to comply with directions or rules.

6.27   As a means of exercising influence, however, discipline has some serious limitations. In the first instance, the exercise of external control can be extremely demanding on supervisor time and effort. In addition, everybody eventually comes across a situation where there is no supervisor and no set of rules to follow. It is in

these circumstances that self-discipline, or internally regulated behaviour, becomes a superior mode of operation.

6.28   **Internally regulated behaviour**. Self-discipline stems from the values held by an individual. A member who values personnel health and fitness will show self-control over food intake and exercise. A member who values conscientiousness will action an onerous task even in the absence of supervisor or observation. A person who values honesty will return a found wallet.

6.29   The advantages in consistency, adaptability and sense of self-worth provided by internal regulation make the inculcation of self-discipline and its associated values a key responsibility of ADF leaders. Indeed, self-discipline and initiative are key to the concept of mission command.

6.30   **Fundamental values**. Effective leader development comes from having fundamental values that underpin leadership behaviour. Leadership values such as care, compassion, trust, integrity, respect, tolerance and moral courage provide a benchmark, against which leaders may reflect on and judge their actions.

AUSTRALIAN DEFENCE FORCE LEADERSHIP DEVELOPMENT

6.31   All Services deliver leadership education and training as part of the continuum of courses that commence at entry level and continue throughout a member's career. These courses normally combine modules on personal development, management, leadership and, later in the member's career, command and strategic leadership.

6.32   The goal of ADF leadership development is to satisfy the leadership needs at each promotional level. In doing so, consideration is given to the limited time available for education and training and the general context in which the outcomes can be applied. In considering context, military education and training rightfully focuses on the possibility of conflict. At the fundamental level, the application of leadership outcomes occurs in the workplace environments of peace, tension and conflict.

6.33   Given the consequences of an imperfect performance for each of these environments, and the brevity of ADF education and training courses, the focus for exposure is tension and conflict. Effective military leadership education and training must replicate as accurately as possible the psychological and physical demands likely to be encountered during operations. Exhaustion, fear and uncertainty cannot be simulated but to ensure some element of realism and subsequent success, leadership continuums must take individuals, teams, and leaders outside their established comfort zones.

Figure 6.1: In both training and on operations, the psychological and physical demands likely to be encountered are wide and varied. Military leaders must be prepared for every eventuality

SELECTION OF LEADERSHIP MODELS AND THEORY

6.34   Leadership is a contextual phenomenon and therefore the context in which members transfer their education and training to the workplace is part of determining the most appropriate theory or model for delivery of the education and training. Once the workplace context of leaders is clearly established, the selection of which theory best suits their training becomes relatively simple. The process of relating the needs of each rank level leads to a coherent and logical continuum of education and training, for which the selection of appropriate theories and models is facilitated.

AUSTRALIAN DEFENCE FORCE PRINCIPLES FOR LEADERSHIP TRAINING

6.35   Some education and training methods and interventions are deliberately emphasised during the leadership development that takes place on the earlier career courses while others are not embraced until some leadership experience has been accumulated. Exercises of a challenging nature that build self-confidence are typical components of entry level courses. Other interventions, such as reflection on performance and 360 degree feedback, require Service leadership experience before they are relevant. As such, they are usually incorporated into career courses later in a member's career.

6.36   Other leadership development activities, such as strategies to understand and shape Service culture, relate more to strategic leadership and are therefore later in a member's career. To ensure that leadership education and training makes best use of time and builds on a member's prior experience, the ADF continuum of leadership courses adopts the following principles:

a.   address all three learning domains, focussing on the affective learning domain

b.   use a selection of leadership theories and models, depending on the perceived leadership needs of the rank requirement and commensurate level of responsibility

c.   use a broad range of education and training methods and interventions, such as confidence-building obstacle courses and multi-source leadership feedback tools.

6.37   **Peer and subordinate input**. Leadership behaviours, such as communicating vision, motivating others, setting an example, engendering trust, empowering others and developing subordinates are difficult to objectively assess. Those best placed to assess the existence and sincerity of influencing behaviours (and thus the effectiveness of the leadership training) are the followers within the leadership relationship. Followers, rather than supervisors, are best placed to comment on a leader's ability to influence in a positive and constructive manner. For this reason, the ADF encourages supervisors to seek input from peers and subordinates when assessing the leadership capabilities of their staff.

6.38   The ADF recruits individuals who demonstrate leadership potential. It recognises that those who are self-confident and motivated offer the greatest potential to develop into effective leaders. Through a continuum of leadership courses that commences during entry level, the ADF delivers the fundamentals of leadership and then builds on this base by using a framework which outlines, and endeavours to inculcate, the behaviours expected of leaders at all levels. Perhaps most importantly, a rich and varied ADF career—one that can include a range of challenging postings and operational experience—provides for the practical implementation and continued fine tuning of an individual's leadership development.

GLOSSARY

The source for approved Defence terms, definitions and abbreviations is the Australian Defence Glossary (ADG), available on the Defence Restricted Network at http://adg.eas.defence.mil.au/adgms/. Note: The ADG is updated periodically and should be consulted to review any amendments to the data in this glossary.

TERMS AND DEFINITIONS

command
The authority which a commander in the military Service lawfully exercises over subordinates by virtue of rank or assignment.

Notes:

1. Command includes the authority and responsibility for effectively using available resources and for planning the employment of organising, directing, coordinating and controlling military forces for the accomplishment of assigned missions.

2. It also includes responsibility for health, welfare, morale and discipline of assigned personnel.

competence
The ability to perform activities within an occupation, function or role, to the standard required.

discipline
The activities and actions associated with the disciplinary process for civilian and Service personnel; includes investigation, charges, formal inquiries, punishment and appeals.

doctrine
Fundamental principles by which military forces guide their actions in support of objectives.

Note: It is authoritative but requires judgement in application.

education
The acquisition of knowledge and intellectual skills which can be applied to a range of known and potential roles and tasks.

fighting power
The result of integrating the following three interdependent components:

    a. the intellectual component which provides the knowledge to fight

    b. the moral component which provides the will to fight

    c. the physical component which provides the means to fight.

leadership
The process of influencing others in order to gain their willing consent in the ethical pursuit of missions.

management
The process of planning, organising, directing and controlling organisational resources in the pursuit of organisational goals.

mission command	A philosophy for command and a system for conducting operations in which subordinates are given clear direction by a superior of their intentions.
	Note: The result required, the task, the resources and any constraints are clearly enunciated, however subordinates are allowed the freedom to decide how to achieve the required result.
operation	A series of tactical actions with a common unifying purpose, planned and conducted to achieve a strategic or campaign end state or objective within a given time or geographical area.
personnel management	The process of planning, organising, directing and controlling the recruitment, career development and management of personnel, and includes the staffing of units and organisations and the administration of Service conditions and discipline.
preparedness	The measurement of how ready and how sustainable forces are to undertake military operations.
	Note: It describes the combined outcome of readiness and sustainability.
readiness	The ability of a Defence element to be committed to a specific activity within a nominated timeframe.
	Note: It assumes the availability of appropriate competencies and other fundamental inputs to capability to provide an acceptable level of risk.
training	A planned process to inculcate and modify knowledge, skills and attitudes through a learning experience to achieve effective performance in an activity or range of activities.
transactional leadership	A general pattern of influence based on the provision of various rewards or benefits in exchange for extra effort or improved performance, and occasionally connected to principles of economic exchange.
transformational leadership	A general pattern of influence based on shared core values and mutual commitment and trust between the leader and led, and intended to effect significant or radical improvement in individual, group, or system capabilities and performance.

SHORTENED FORMS OF WORDS

ADDP	Australian Defence Doctrine Publication
ADF	Australian Defence Force
APS	Australian Public Service
CDF	Chief of the Defence Force
EI	emotional intelligence
FIC	fundamental inputs to capability
HMAS	Her Majesty's Australian Ship
HMS	Her Majesty's Ship
LWD	Land Warfare Doctrine
PLICIT	professionalism, loyalty, integrity, courage, innovation and teamwork
PME	professional military education
RAAF	Royal Australian Air Force
RAN	Royal Australian Navy

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