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STRATEGIC BEACON IN THE FOG OF LEADERSHIP:
A CASE STUDY OF EXECUTIVE MILITARY LEADERSHIP
OF THE IRAQ SURVEY GROUP

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By

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A DISSERTATION APPROVED FOR THE
GRADUATE COLLEGE

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ABSTRACT

Even though the field of strategic leadership has transformed over the past quarter of a century, there is a significant shortage of serious studies. Using a qualitative investigation into strategic military leadership of the Iraq Survey Group whose mission was to determine the truth concerning the existence of Iraqi Weapons of Mass Destruction (WMD), I argue that some specific leadership behaviors directly link successful strategic military leadership to classic leadership theories, especially the trait leadership theory. Framing the inquiry were three of the most prominent theoretical traits: intelligence, integrity and personality. Specifically, I argue that General Keith Dayton was a successful intelligent strategic military leader partially because of his extraordinary absorptive capacity and remarkable ability to retain and employ information. Additionally, I contend that Dayton was an effective strategic leader of integrity whose core values or behavior did not change despite the enormous pressure to find WMD and the weight of being responsible for the lives over a thousand women and men in a combat environment. Finally, I make a case that General Dayton was a successful strategic leader because of his unique personality. Evidence solidly supports theoretical linkages to three of the five personality traits: conscientiousness, openness to experience and emotional balance. Despite the discovery that General Dayton's behavior did not support the classic theory for extraversion and agreeableness, he was nonetheless effective and efficient and therefore a successful strategic military leader.

CHAPTER ONE

This dissertation investigates strategic military leadership as it applies to an historical case study. The purpose of this dissertation is to determine the behaviors that contribute to strategic military leader effectiveness and efficiency using extant leadership theories, but primarily the classic trait theory. Framing this investigation are three of the most prominently investigated traits: intelligence, integrity and personality.

Strategic military leadership is leadership that is conducted at a very senior level in all activities across the spectrum of conflict, which includes humanitarian relief operations on the low end to general nuclear release following a major conflict on the other end. Normally, senior general officers and civilians who lead very large organizations exercise strategic leadership in the military, but it may also include others such as two or three star generals or their civilian-equivalent depending on the mission. In non-military organizations strategic leadership is approximately equivalent to “executive leadership”.

The case study being examined reviews the senior military leadership exercised over the Iraq Survey Group (ISG) in Baghdad, Iraq while searching for Weapons of Mass Destruction. The period reviewed of the case study is the year 2003 when the majority of the ISG’s work was conducted. The Iraq Survey Group’s senior leader was Major General Keith W. Dayton who is the principal subject of this study. Even though President George W. Bush designated Dr. David Kay as the senior civilian and special advisor to the ISG, Major General Dayton’s responsibility as the Director, ISG was to oversee the Group’s daily activities while coordinating frequently with the most senior

military and civilian officials in the Iraqi theater of operations, as well as in Washington, D.C.

Key leadership factors or competencies will refine the scope of my investigation and will provide a framework for analysis. A multitude of researchers have conducted copious studies over the past century on individuals' personal characteristics, making it clear that many traits are linked to leadership. A few of the traits that are consistently identified in these studies are intelligence, integrity, sociability, determination and self-confidence (Northouse, 2004). Specifically, this paper will investigate three of the traits and their sub-traits most often highlighted in research as directly related to leadership: intelligence, integrity and personality. This paper will follow the work of other researchers who combine sociability, determination and self-confidence as identified by Northouse into the larger category of personality. This research will rely on a qualitative methodology with semi-standardized interviews as the primary method of inquiry.

This dissertation has several implications for the study of strategic military leadership. On a fundamental level it considers the impact of a senior military leader's personal attributes on her or his mission and charter. Additionally, this paper should formulate some thoughtful observations about the efficacy of the trait theory while constructing some useful inroads to the study of strategic military leadership across the spectrum of conflict.

The real contribution of this dissertation is the identification of specific leadership behaviors that directly link successful strategic military leadership to general leadership theories, especially the trait leadership theory. The theoretical structure of the paper is based on three of the most significant and studied theoretical traits: intelligence, integrity

and the five factors of personality. I argue that General Keith Dayton was a successful intelligent strategic military leader because of his unusual ability to absorb and process enormous amounts of information and extraordinary ability to retain and utilize information. Additionally, I maintain that Dayton was an effective strategic leader of integrity whose core values or behavior were so deeply embedded, he never wavered despite the enormous pressure to find WMD and the weight of being responsible for the lives of over 1400 men and women in a combat environment. Lastly, I make a credible case that General Dayton was a successful strategic leader because of his distinctive personality. Evidence solidly supports theoretical linkages to three of the five personality traits: conscientiousness, openness to experience and emotional balance. Despite the discovery that General Dayton's behavior did not support the classic theory for extraversion and agreeableness, he was nonetheless effective and efficient and therefore a successful strategic military leader.

INTRODUCTION

Prior to a battle during World War II, General George Patton was pouring over some maps with his staff to determine the optimal point to cross a river. Patton pointed at the map and said, "Cross here." Patton's staff hesitated claiming they did not know how deep the water was at that spot. Patton pointed at his wet pants, drawing attention to the waterline. "It's this deep," he said.

Marcinko

The words "military leadership" for many people invoke concepts such as structure, verticality, chain of command, regimentation, military science, and campaign strategy. To others such as General Gordon Sullivan, who was the Chief of Staff of the United States Army in the early 1990's, the complicated nature of military leadership and, in particular, the Army's leadership, generates a different perspective. "Certainly,

managing complexity is no less important in today's world, but the kinds of leaders we need today are more like great jazz musicians, thoroughly schooled in the fundamentals and absolutely technically competent but able to improvise on a theme" (Sullivan, 1997). The ability to develop events without a specific operations plan for the military leader is equivalent to a jazz musician's ability to play effectively without a musical score. The musical metaphor that General Sullivan employed is not new, but he does take the comparison a step further when he links the lives of General Matthew Ridgeway, a legendary commander during World War II with Dave Brubeck, a renowned jazz musician. Sullivan observed that both individuals were expertly grounded in their respective fundamentals. Brubeck and Ridgeway were disciplined, as well as great team builders. Individually, they could work effectively without a score or operations order. Both were considered innovators and dedicated to the success of their subordinates. And both were humble; believing in giving credit where credit is due. Sullivan, labeled by Colin Powell as "...one of the Army's most visionary leaders..." feels that leadership should be practiced by officers he calls "learning leaders". To Sullivan these learning leaders behave like jazzmen; well-grounded in fundamentals, disciplined, team builders, innovative, passionate and humble (Sullivan, 1997).

Leadership has been considered a critical factor in military successes since records have been kept; that is, better-led forces repeatedly have been victorious over poorly-led forces (Gal and Manning, 1984). The study of military leadership is as old as the first war ever recorded which occurred in c. 2700 B.C. between Sumer, now considered "modern Iraq", and Elam which is a region that is now a part of Iran, and was fought in the area around Basra much like the Iran-Iraq war of the 1980's. There had

been fighting for thousands of years before 2700 B.C., but there are no known records of these earlier conflicts as writing may not have been invented until a little before 3000 B.C. (Gabriel & Metz, 1992, available from Air University Website: <http://www.au.af.mil/au/awc/awcgate/gabrmetz/gabr0004.htm>, accessed 16 March 2005).

If one couples this long history of warfare with the purpose of the modern U.S. Army which is to fight our nation's wars (Army Field Manual 100-5), it is likely that the study of military leadership will continue to be the object of scholarly interest for many years to come.

Military leadership is different. The stakes are high.

"... Your mission remains fixed, determined, inviolable; it is to win our wars. Everything else in your professional career is but corollary to this vital dedication. All other public purposes, all other public projects, all other public needs, great or small, will find others for their accomplishment; but you are the ones who are trained to fight: yours is the profession of arms—the will to win, the sure knowledge that in war there is no substitute for victory; that if you lose, the nation will be destroyed; that the very obsession of your public service must be Duty, Honor, Country (MacArthur to the West Point Corps of Cadets, 1962)

If the purpose of the United States Army is to defend the country and fight the nation's wars, it stands to reason that military leaders frequently ask subordinates to risk their lives to achieve the units' missions. Upon induction, promotion, and reenlistment, officers and enlisted personnel of all branches of service routinely swear oaths of allegiance to the U.S. Constitution. Officers, as "worthy stewards of the special trust and confidence given them by the nation and the people", must promise to "support and defend the Constitution of the United States against all enemies, foreign and domestic...." Leaders are challenged to motivate subordinates to behave in a way that might be against their self-interest. Financial gain and loyalty to a person or position are less important than a sense of duty (Goethals, Sorenson & Burns, 2004). The U.S.

military has its own distinct legal system called the Uniform Code of Military Justice that grants its leaders special and unique authority over their followers. Another unique quality of U.S military leaders is the universal acceptance of the concept of “civilian control of the military”.

Another characteristic of military leadership that makes it different from non-military leadership is the degree of focus on subordinates. If soldiers lose trust and confidence in their leaders, the results could be disastrous, if not deadly. During their development, military leaders are constantly reminded of the criticality of accomplishing the mission while simultaneously focusing on the welfare of subordinates. General (Retired) Eric Shinseki, former Chief of Staff of the United States Army said, “You must love those you lead before you can be an effective leader. You can certainly command without a sense of commitment, but you cannot lead without it. And without leadership, command is a hollow experience, a vacuum often filled with mistrust and arrogance” (Shinseki, 2003).

Finally, one of the most significant distinguishing characteristics of military leadership is when that leadership is applied in a combat environment. The routine physical and psychological stresses of combat are viewed by every soldier as the ultimate test for any leader.

But what is leadership?

There is no shortage of definitions for leadership. As Stogdill (1974) indicated in a review of research on leadership, there are almost as many different definitions of leadership as there are people who have tried to define it. In a survey of the different

definitions Northouse (2004) claimed that leadership is the focus of group processes. In this case the leader is at the center of group change and activity.

Northouse suggests there is another school of thought that views leadership as a combination of a special traits and characteristics that individuals possess which enable them to induce others to accomplish a mission; i.e., a personality perspective. Also, he has found that leadership can be defined as an act or behavior. In this case leaders do things to bring about change to a follower or group of followers. Additionally, leadership has been defined as a power relationship between leaders and subordinates. Still others see leadership as an instrument of goal achievement. In this situation leaders effect change and transformation through vision, example-setting, and individualized attention. Finally, from a skills perspective leadership can be defined as the knowledge, skills and abilities required for effective leadership.

Northouse (2004) reduces the various definitions of leadership to the following basic components:

1. Leadership is a process. It is not linear. It is interactive.
2. Leadership involves influence.
3. Leadership occurs within a group context.
4. Leadership involves goal attainment

Therefore Northouse's definition is that "leadership is a process whereby an individual influences a group of individuals to achieve a common goal."

In 1948 the U.S. Army in Department of the Army Pamphlet 22-1, signed by General Omar Bradley, defined leadership as the "art of influencing human behavior through ability to directly influence people and direct them toward a specific goal"

(p.44).

Ten years later the Army Chief of Staff, General Maxwell Taylor, published Field Manual 22-100 on military leadership and defined it as the “art of influencing and directing men in such a way as to obtain their willing obedience, confidence, respect, and loyal cooperation in order to accomplish the mission” (p.7).

In 1973, the United States Military Academy at West Point, one of very few institutions of higher learning in the United States governed by a principal charter to develop quality leaders, adopted the same definition as published by the Department of the Army; “the process of influencing others to accomplish the mission” (Bazzel, 1973; Department of Army Field Manual 22-100 p.1-3). Today, over thirty years later the definition of leadership has evolved slowly at West Point. The current Cadet Leader Development System Manual (2002) defines leadership as “Influencing people while operating to accomplish the mission and improving the organization.”

Military leadership is a broad topic that involves the stratification of warfare which is traditionally sub-divided into three levels. They are the strategic, operational and tactical levels. The lowest ranking leaders who lead small units that come into direct contact with the enemy normally populate the tactical or direct level. Units at this level normally comprise a range of people from approximately forty on the low end to several thousand soldiers on the high end. Division-sized units and below such as brigades, battalions, companies and platoons, are considered to exist at this level. Operational level units are led by Lieutenant Generals or 3-star generals whose mission is to lead Corps and act as a bridge between tactical and strategic level leaders. Strategic level leaders are quite often 4-star general/flag officers who are profoundly involved in politics and

diplomacy and have global responsibilities. Normally, U.S. strategic leaders communicate directly with senior military and civilian leaders in Washington, D.C. This paper will observe strategic military leadership principally through the prism of the trait theory as it applies to a leadership case study. It will focus on three important competencies of the modern strategic Army leader when dealing with a crisis from the high end of the conflict spectrum: intelligence, integrity and personality.

This paper views intelligent strategic leaders as those who effectively deal with increasingly complex tasks, digest voluminous loads of information and make critical decisions that may affect tens of thousands of people. This project also views those who lead with integrity as not only those who connect values to behavior, but also those with a moral component to their leadership behavior. Finally this paper sees personality as a construct further divided into five sub-components; extraversion, openness to experience, agreeableness, emotional stability and conscientiousness.

This case study will examine the strategic leadership of Major General Keith Dayton as the Director of the Iraq Survey Group (ISG) in Baghdad whose mission was to uncover the truth about the existence of Iraqi Weapons of Mass Destruction (WMD). Although the Defense Intelligence Agency (DIA) remained on site in the theater of operations after the summer of 2003, the ISG mission was terminated in 2005. The presentation of the case study will focus on the leadership attributes observed and reported during the execution of the ISG mission. The theoretical leadership models should provide a data point from which to compare the theory to actual observations of strategic leadership behavior.

The end state of this study will be a set of tentative but useful conclusions

concerning important leadership attributes of strategic leaders based on an in-depth analysis of Major General Keith Dayton's leadership of the Iraq Survey Group.

BACKGROUND: From the Army's Perspective

In order to extract the full value of this case study it is essential to comprehend the basic context within which the Iraq Survey Group operated, as well as to be acquainted with the background of its leader, Major General Keith Dayton. The purpose of this section is to provide fundamental working knowledge of the military components and framework in which the Iraq Survey Group operated. A brief explanation of the concepts conflict spectrum, levels of leadership within the stratification of warfare, and a concise description of the Iraq Survey Group are useful.

Conflict spectrum

A working definition of the conflict spectrum (See Figure 1) mentioned above is simply the range of various types of conflict which can be arrayed on an operational continuum from humanitarian operations on the lower end of the spectrum and strategic nuclear war on the other or high end (Joulwan, 1994). Operation "Restore Hope", a lower end operation, conducted by the U.S. European Command immediately following the horrific genocide that occurred in Rwanda in 1994 was designed as a humanitarian mission to arrest the outbreak of cholera that had reached epidemic proportion. Other examples of these types of activities are operations conducted in other parts of Africa such as Liberia, Somalia and Sierra Leone.

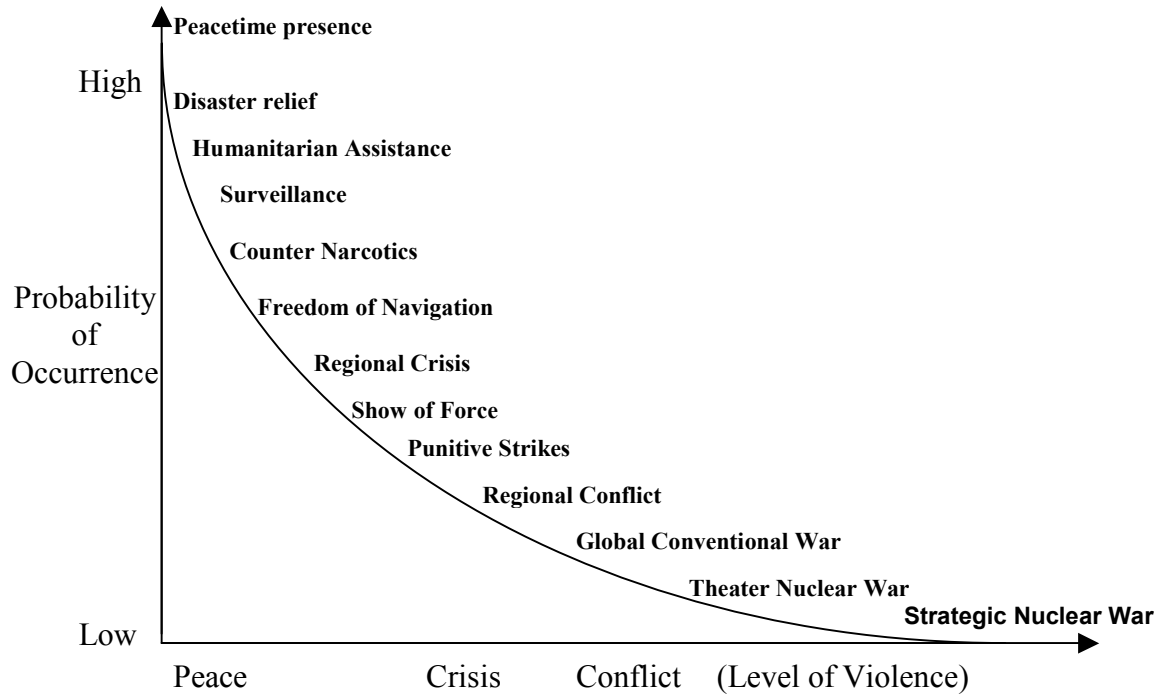
Near the other end of the conflict spectrum, the Iraq Survey Group's search for Weapons of Mass Destruction in 2003 was an important subcomponent of Operation Iraqi Freedom (OIF). Although violent episodes reached unprecedented levels during

OIF, military observers still classify the Iraq War as a theater or regional conflict. It is important to understand the stratification of warfare at the high end is very similar, if not identical, to the stratification of warfare at the lower end. The principles, assumptions and standards used by platoon leaders at the tactical or direct level to lead his or her soldiers in a fierce tank battle in the Iraqi desert are the same as the principles, assumptions and standards employed by a platoon leader negotiating between the Mayors of three warring factions in Bosnia-Herzegovina.

Students of military history and military leadership might agree that further examination of the leadership attributes demonstrated by General Dayton, a strategic leader of an organization deeply involved in operations close to the high end of spectrum of conflict would be enlightening from an historical perspective while providing insight

into the arguably dormant trait leadership theory.

SPECTRUM OF CONFLICT (Fig. 1)



Levels of leadership

Conceptually, the U.S. Army divides leadership and warfare into three basic components as illustrated by Figure 2.

LEVELS OF LEADERSHIP

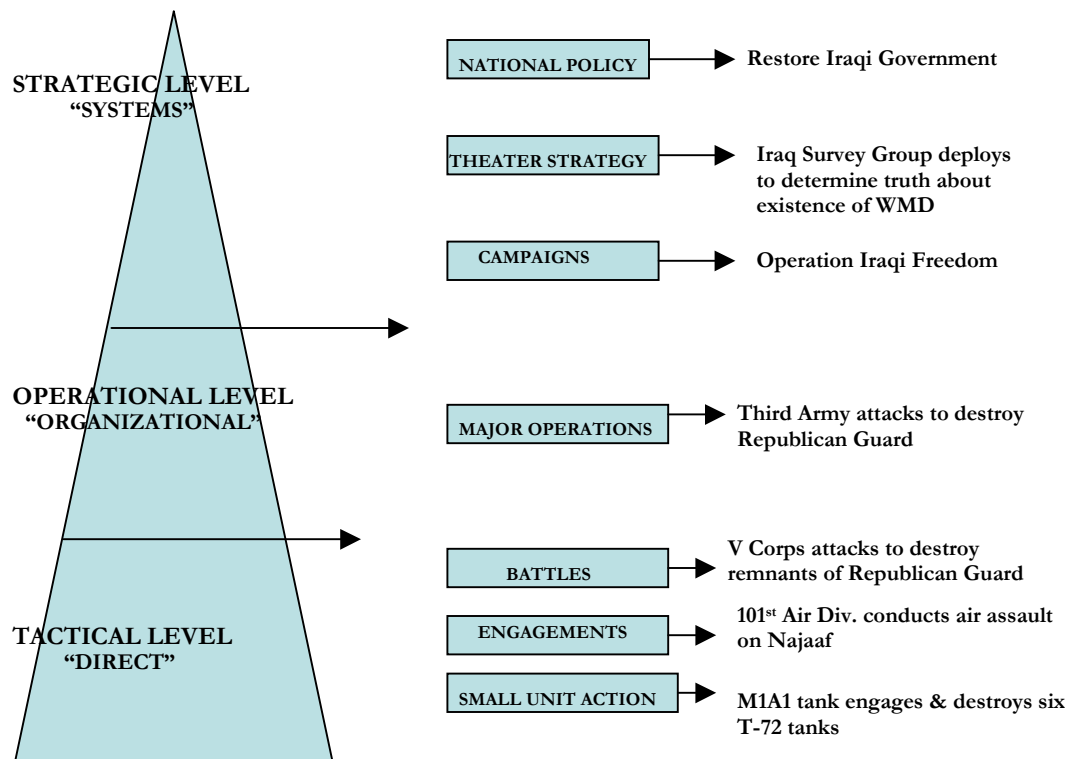


Figure 2

D. Clayton James (1993) provides a classic illustration from American military history that features the three different levels of leadership during the Korean War and some of the key leadership attributes thought necessary for those levels. A brief discussion of the scope of responsibilities, span of control and sphere of influence highlights their differences. However, while the concepts are theoretically distinct at the higher levels, in practice the lines between scopes, spans and spheres may blur slightly. At the strategic level, President Truman and his cabinet were immersed simultaneously in political issues of global importance and domestic significance. While the Commander-in-Chief and Secretary of State wrestled with the idea of the spread of communism

throughout Asia and the rising tension between Soviets and Americans, the President and his staff grappled also with federal assistance to education, civil rights and the Fair Deal Program.

James claims the two leadership competencies that are normally discussed in any evaluation of the national or strategic leadership environment are decision-making/problem solving and professional ethics. The goal of decision-making, according to U.S. Army Field Manual (22-100), *Leadership*, is to make high-quality decisions that subordinates accept and execute quickly. Ethical behavior as a leader competency in the strategic environment means loyalty to the nation, selfless service and integrity. These two skill sets were exercised at the highest levels of government to guide the United States' initial participation and obtain the confidence of senior military commanders during the Korean conflict (James, 1993). President Truman was characterized by some at the time as a "master politician, interest group broker and horse trader". Others say the Commander-in-Chief was a decisive, highly principled, gutsy and unpretentious leader who despised arrogance and conceit. James claimed that when faced with decisions Truman focused on doing what was right rather than scrutinize a series of political options that might affect his national popularity.

Moving one level down to the Korean theater of operations, as one might expect, there were fewer political and more military issues. In this environment the theater commander, General Douglas MacArthur translated diplomatic and political language into military lexicon from which large subordinate staffs drafted operations orders for combat actions to be performed by large military units. Although the theater level comprised four high sub-level commands, they were all military. In order to be effective

at the theater or organizational/operational level commanders had to communicate well up the chain of command and down to the subordinate levels. Additionally, at this level senior commanders had to be technically proficient. Douglas MacArthur, situated between the strategic and tactical levels, needed to demonstrate great flexibility communicating up to the Chiefs of the military services and the President, as well as operationalize combat variables and risks down to subordinate commanders and negotiators at the United Nations Command.

At the tactical level, sometimes referred to as the basic or direct level, military orders given by lower level commanders are translated into specific military action by the troops on the ground. For example, during the most challenging phases of the Korean War, the rapid movements of large units of friendly and enemy forces presented nearly insurmountable and endless problems for U.S. Army Engineers units. One such Engineer platoon leader, normally accustomed to building bridges, railways and airports, painfully recalled trying to keep the roads clear of obstacles and mines strewn by enemy forces that had recently traversed the main supply routes. It was a twenty-four hour a day operation for weeks at a time (Oral History, Lieutenant Joseph Panzarella, 1972).

Summarizing this example, the scope of responsibilities, span of control and sphere of influence usually varies proportionally with the level of access to information, power and influence. In the case of the Iraq Survey Group General Dayton met James' requirements for a strategic leader in the area of scope and sphere of influence but it may be questionable if he had a broad strategic span of control. Certainly, the ISG's work and more importantly, its results were the object of national, if not global attention. However, Dayton's immediate span of control only extended between the 1400 members of the ISG

located in Iraq and Qatar. At this point it is useful to further develop “strategic and executive leadership” not only to understand better General Dayton, but also the linkage between what might be effective strategic leadership and the traits identified for this study: intelligence, integrity and personality.

DOES STRATEGIC LEADERSHIP MATTER?

There is by nature both a justice and an advantage appropriate to the rule of a master, another to a kingly rule, another to a constitutional rule; but there is none naturally appropriate to tyranny” (Aristotle, 1984)

There has been a heated debate over the years whether or not leadership mattered. (Lombardo & McCall, 1978; Meindl, Ehrlich & Dukerich, 1985; Pfeffer, 1977). Even though many researchers now feel it is essential to study leadership and strategic leadership (Cannella & Monroe, 1997; Day & Lord, 1988; Finkelstein & Hambrick, 1996), according to Boal and Hoojberg (2000), “the real question is not whether strategic leadership matters, but rather under what conditions, where, how and on what criteria” (p.3). However, I strongly agree with Hambrick’s (1989) statement on the question of whether strategic leader matters. He said, “Some do, some don’t, and a lot more could” (p.6).

Strategic and executive leadership: military and non-military

This dissertation will aim to demonstrate that General Dayton was an effective strategic leader because his profound cognitive abilities allowed him to handle complex and sophisticated challenges associated with the unprecedented nature of the Iraq Survey Group. His facility with abstract issues and keen ability to integrate seemingly disparate information, proven at the daily briefings and meetings in Baghdad, also made him successful at this level. Further evidence of his valuable contributions as a strategic leader is the assumption by many people that the ISG, an organization he helped create and

develop, will most likely be used as a model for intelligence support of future conflicts and wars because it was viewed as successful.

During the review of appropriate literature I will explore more deeply strategic and executive leadership with the goal of identifying those behaviors that might link the trait theory to General Dayton's specific performance in Iraq as reported by those interviewed. However, it would be useful for background purposes to provide a broad overview of the topic.

United States military doctrine states that each organizational level demands a different combination of leadership skills, knowledge, attitude and experience. Leadership at the direct level is face-to-face and normally has a short term outlook. As leaders are promoted in rank and into positions of more responsibilities, tasks become more complex and sophisticated. In the highest levels of the military the ability to conceptualize and integrate becomes increasingly important. Strategic leaders are supposed to focus on establishing the conditions for operations to deter wars, fight high intensity conflicts or disaster relief operations and anything in between them on the spectrum of conflict. "They also create organizational structures needed to deal with future requirements. Leaders at this level have the longest outlook in time" (Army Regulation 600-100, *Army Leadership*, 1993, p.1.).

The literature will identify other skills believed to be critical for effectiveness at this level. A strategic leader and manager is one that not only can lead people and link information, but also integrate complex functions and systems. Subordinate to Dayton there were numerous systems and functions such as information and personnel systems, intelligence and operations networks, and logistic functions to provide supply and

maintenance to his group that he needed to manage in order to maximize his effectiveness. According to this literature, executives should possess skills and abilities in three broad areas: technical, interpersonal and conceptual (Army Regulation 600-100, *Army Leadership*, 1993). Technical and conceptual skills which are normally associated with intelligence require a strategic leader to be strictly competent in her or his field and this includes being able to work with ill-defined and intangible problems that impact on the entire organization. Organizational skills, referred mistakenly to sometimes as interpersonal skills, in military publications are broken down into sub-skills: environmental scanning, decision making and complexity reduction.

Additionally, military doctrine will associate executive effectiveness with the ability to maintain an international perspective while keeping current on political, economic, military and cultural perspectives. Another skill set is the ability to understand what is happening internally to an organization while simultaneously being able to interpret the external environment and its impact on the internal environment.

Internally and externally, Dayton needed to be technically and conceptually competent. Even though he did not have a deep military intelligence background, he learned enough about the intelligence field to become functional and effective. External to the Iraq Survey Group, Dayton was comfortable working with his peers, who were leading divisions and staffs in Iraq, as well as with Central Command leaders. He also flourished whenever he testified before Congress and seemed to enjoy even more his relationship with and activities within the interagency environment.

There is a growing body of research focused on non-military executive leadership and in many respects the results of these studies are similar to those found within military

research and doctrine. Relevant literature will be discussed in the literature review section, but it is Zaccaro (2000) who pulls together recent research based on nascent interest in the field of executive leadership. He identifies five general categories of requisite characteristics and many associated skills that executive leaders need for their organizations in order to be effective; cognitive capacities, social capacities, personality, motivation, and knowledge and expertise. Zaccaro connects intelligence, analytical reasoning, flexible integrative complexity and verbal/writing skills with the cognitive characteristic and he links openness, adaptability and flexibility with personality. Even though there may be some inconsistency in which category researchers place specific skill sets, there is enough overlap within the categories to conclude that researchers consider these to be the most important.

In order to determine whether or not General Dayton is an effective strategic leader or whether he is an intelligent executive who always leads with integrity, it may be useful to learn more about his background. A brief biographical sketch of Keith Dayton may lend some clues.

WHO IS MAJOR GENERAL DAYTON?

Keith Dayton received a military commission and a Bachelor of Science degree in History in 1970 from the College of William and Mary. During his career in uniform, he has served in a variety of units as a commander and a staff officer in the United States and abroad. He progressed in rank and position in a fairly traditional manner gaining more responsibility as he was promoted up through the ranks. As an officer-student, he attended numerous courses and schools normally only offered to the Army's very best and brightest officers. After studying basic Russian for one year at the Presidio of

Monterey, California, Captain Dayton immersed himself in Area Studies in advanced Russian for two more years at the U.S. Army's Russian Institute in Germany. General Dayton received a Masters of Arts of International Relations from the University of Southern California, as well as a Masters of Art of History from Cambridge University. Additionally, Major General Dayton competed and was selected for a Senior Service College Fellowship to Harvard University.

Operationally, General Dayton is highly experienced as an artilleryman and a political-military staff officer. He commanded at every tactical level from platoon through Brigade in units located in Korea, the United States and Germany. As a high-level Army staff officer in the Pentagon during the first Gulf War and the very difficult Humanitarian Relief Operations in Somalia, he developed an understanding of strategic plans, operations, policies and strategic thinking. Later, as a Colonel he became the Executive Assistant to the Director of the Joint Staff, one of the most influential positions in the U.S. military. This occurred at a time when traditional doctrine was being challenged by a plethora of humanitarian and coalition operations, including NATO peace keeping and peace making operations in places such as Bosnia-Herzegovina and Kosovo.

After having commanded at the brigade-level in Germany as a Colonel and prior to being promoted to Brigadier General and selected as the United States Defense Attaché to Russia, Colonel Dayton was chosen to be the Senior Army Fellow on the Council of Foreign Relations in New York City. When Brigadier General Dayton returned from Moscow he was the Deputy Director for Politico-Military Affairs (Western Hemisphere/Europe/Africa) on the Joint Staff in Washington, D.C. Soon he was

promoted to Major General and selected to become the Director for Operations, Defense Intelligence Agency. It was during this posting that Major General Dayton was selected by the Secretary of Defense to become the Director of the Iraq Survey Group, Operations Iraqi Freedom, Iraq.

Major General Dayton returned from Iraq after a year and was selected for a position on the Army Staff in the Pentagon that is both prestigious and highly sought after by General Officers. As the U.S. Army's Director of Strategy, Plans and Policy, Office of the Deputy Chief of Staff, G-3, General Dayton leads a staff in the U.S. Army responsible for translating the National Security Strategy and the National Military Strategy into actionable plans and policies for the entire Army. It is important to note that while successfully performing his duties in Iraq during the summer of 2004, the Secretary of the Army notified Major General Dayton that he was being considered for promotion to Lieutenant General, a third star, with orders to become the next United States Military Representative to the North Atlantic Alliance Organization (NATO). For various reasons this assignment did not materialize.

Subsequently, on November 15, 2005 the President of the United States officially nominated Dayton for promotion to the rank of Lieutenant General and assignment as the United States Security Coordinator for the Israel-Palestinian Authority. Dayton's official military biography can be found in Appendix A.

WHAT IS THE IRAQ SURVEY GROUP?

Original concept for Iraq Survey Group – roles and missions:

Although no template or doctrine existed for such an operation, the Defense Intelligence Agency (DIA) was directed by the Secretary of Defense to establish an

intelligence organization whose mission was to search for Iraqi Weapons of Mass Destruction. In May of 2003 DIA was organized according the diagram at Figure 3.

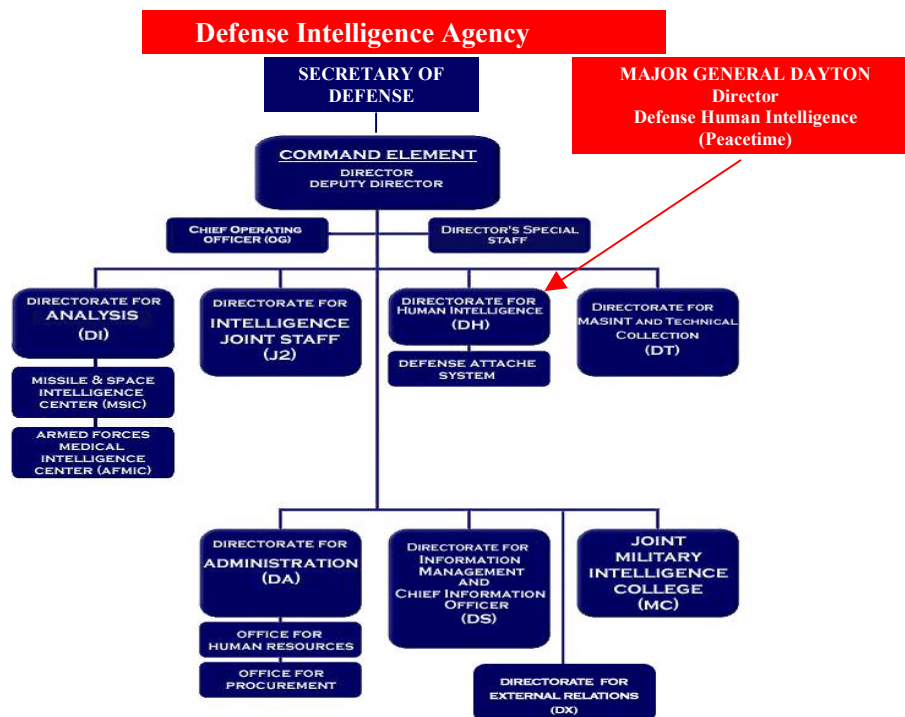


FIGURE 3

Volunteers desiring to join the Iraq Survey Group from all over the Army flooded the makeshift detachment that was being organized to oversee the numerous support requirements. Those selected faced a battery of tests and events such as weapons training, immunizations to include small pox and a series of anthrax shots, distribution of desert uniforms, nuclear biological and chemical training and equipment issue, and mandatory briefings. Several planners from the Defense Human Intelligence Directorate (DHS) of DIA and other interagency planners met many times to design a blueprint for establishing the roles, missions and functions of the Iraq Survey Group. DHS was the organization from which General Dayton came. The planners were aware of the unprecedented nature of the organization and its purposes and knew of the potential impact of the ISG's success in utilizing intelligence in future conflicts. Some descriptive detail about the ISG as it was conceived by these strategic planners is necessary to establish a baseline for comparison to the changes made by MG Dayton throughout his tenure as the Director of the ISG.

The Special Advisor to Director of Central Intelligence for Strategy, David Kay was charged with the responsibility to develop an overall strategy for the search for Iraq's remaining WMD. In this capacity Mr. Kay's charter was to revise his strategy under the guidance of then Director of Central Intelligence (DCI), George Tenet. Mr. Tenet established the oversight of the ISG structure with himself as the chair of the ISG advisory group. This group comprised the Central Intelligence Agency (CIA), the Undersecretary of Defense for Intelligence (USD/I), the Joint Staff in the Pentagon, and the Defense Intelligence Agency (DIA). The Director of Central Intelligence (DCI), through his Special Advisor, was responsible for providing guidance and priorities for the

WMD search in Iraq. Additionally, the Director of the Defense Intelligence Agency, a U.S. 3-star Admiral, was the DCI's Executive Agent in Washington D.C. A key planning factor that becomes a significant variable after deployment was that the Iraq Survey Group Fusion Cell, under the direction of the Deputy Director of the Defense Intelligence Agency, was supposed to integrate and establish priorities to accomplish the DCI's directives. The Fusion Cell was supposed to disseminate intelligence on Iraqi WMD as well as conduct round-the-clock monitoring of WMD related developments in Iraq.

Command and support relationships

The Iraq Survey Group was placed under the Operational Control to United States Central Command. Operational control is the authority to perform those functions of command over subordinate forces involving organizing and employing commands and forces, assigning tasks, designating objectives, and giving authoritative direction necessary to accomplish the mission. Operational control includes authoritative direction over all aspects of military operations and joint training necessary to accomplish missions assigned to the command.

The Chief of Station, the Central Intelligence Agency's officer in charge of the office in Baghdad, was directed to provide support to the Special Advisor's mission. The ISG was also directed to provide direct support to Mr. Kay. Finally, the Special Advisor and the ISG were given an order to coordinate with the Coalition Provisional Authority (CPA), then led by Ambassador L. Paul Bremer III.

Mission- Iraq Survey Group (ISG)

The official military mission statement was depicted in Central Command's ISG mission briefing: Organize, direct and apply capabilities and expertise in Iraq to discover,

take custody of, exploit, disseminate and disable/eliminate information and materiel on individuals, records, nuclear biological and chemical samples, weapon systems, materials, facilities, networks and operations related to Weapons of Mass Destruction (CENTCOM Mission Briefing, 2003).

The ISG represented a major expansion in exploitation coverage. Other missions with regard to terrorism, Iraqi intelligence, individuals associated with the Iraqi regime/leadership, prisoners of war and war crimes/crimes against humanity were supposed to be pursued on a non-interference basis with the WMD mission. It was a very different WMD organization from any of its predecessors and represented an overall increase to the substantial existing capability. The ISG became the single focal point for Weapons of Mass Destruction exploitation in Iraq and moved its analytic capability forward to Qatar near Central Command Headquarters.

At the time of the official announcement of MG Dayton's posting as the director of the Iraq Survey Group (ISG), the 75th Exploitation Task Force was the U.S. military unit responsible for conducting the hunt for WMD during the actual combat phase of the war. The 75th Exploitation Force had already visited over 300 sensitive sites that had been designated from a master fixed-site list developed by eclectic sources and from intelligence tips received in the field. Concurrently, there were other operations and activities such as document collection, exploitation and captured materiel exploitation as well as interrogations and debriefings.

Major General Dayton briefed the Pentagon press corps on May 30, 2003 that the Iraq Survey Group was quite different from any previous organization whose mission was hunting for Weapons of Mass Destruction. MG Dayton clearly laid out the

conceptual plan in terms of personnel and resources. He explained that developing the ISG would mean that there would be more people applied to the task, but more importantly the ISG intended to consolidate the efforts of various collection operations that were ongoing at that time. This consolidation was designed to subordinate the ISG under one national level headquarters as opposed to the numerous relationships, organizations and headquarters in existence. Furthermore, this new efficiency would be made even better by forward-deploying a powerful intelligence analytical element in the region with virtual connectivity to an interagency intelligence community fusion center in the Washington D.C. area. Additionally, the ISG had a large team assigned for WMD disablement and elimination.

The ISG's first priority, according to MG Dayton, would be to search for and eliminate Weapons of Mass Destruction. In addition to the WMD focus, the Iraq Survey Group would, secondarily, collect and exploit documents and media related to terrorism, war crimes, Prisoner of War (POW) and Missing in Action (MIA) issues and other concerns related to the former Iraqi regime. The ISG would also interrogate and debrief hostile and friendly individuals and exploit captured materiel. MG Dayton compared this process to a very complex jigsaw puzzle and it was the goal of the ISG to solve the puzzle.

The ISG's new director explained that the organization would comprise between 1300 and 1400 people from the United States government interagency, the United Kingdom and Australia. Most of the work was planned to be accomplished in Iraq with the headquarters to be located in Baghdad. The original design of the Iraq Survey Group's information and materiel collection operation would include a joint interrogation

debriefing center, joint materiel exploitation center, chemical and biological intelligence support teams and the ISG operations center (see Figure 4). The main analytic effort, along with the combined media processing center, would be co-located with the same military headquarters in Qatar that was responsible for fighting the war in the theater of operations. This headquarters was called CENTCOM or Central Command. At the time it was commanded by General Tommy Franks who was directly subordinate to the Secretary of Defense.

IRAQ SURVEY GROUP STRUCTURE (Initial)

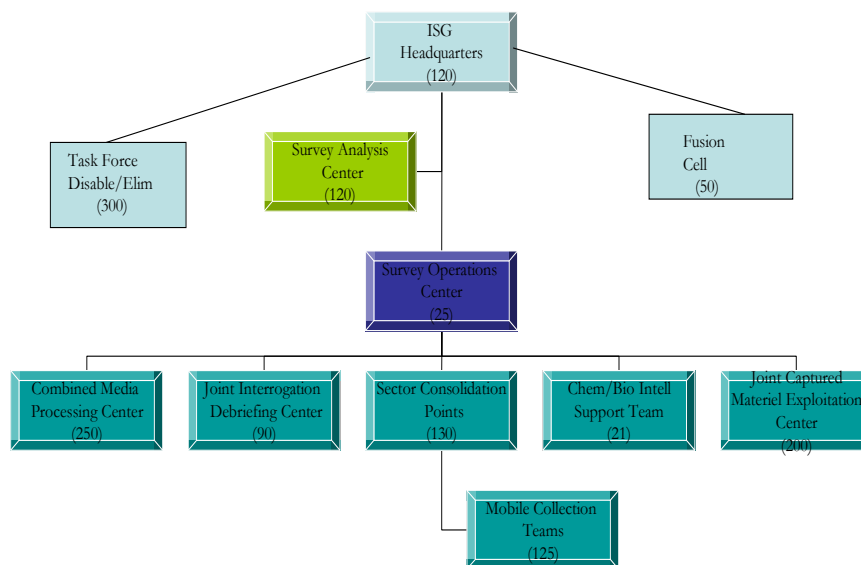


Figure 4

Another difference between the 75th Exploitation Force and the Iraq Survey Group was the manner in which it derived its targets of interest. The Exploitation task force had been operating from the master site list which was an established fixed-site list. The intent of the ISG was to decrease the emphasis on those fixed locations and move to

an operation where the intelligence community's analytical organizations become the engines driving the collection or targeting plan. The ISG was supposed to have liaison officers and/or elements with key organizations such as the Combined Joint Task Force in Kuwait and with other government agencies inside Iraq. All of these elements, including the Washington D.C. based fusion center, were to be linked digitally.

Roles and missions of the ISG's sub-units

According to the press briefing conducted in May 2003 by Major General Dayton to the Pentagon Press Corps prior to his deploying to Kuwait and then eventually to Iraq, he projected that the Iraq Survey Group Headquarters and a Survey Operations Center (SOC) would comprise 140 personnel. The SOC was the key sub-element that managed, monitored and coordinated the daily search missions. As a result of the search missions, the SOC would coordinate the numerous resulting reports and distribute them to wherever they were needed around the world. These intelligence reports known as Intelligence and Information Reports or IIR's provided the bulk of the information used by David Kay, later Charles Duelfer and General Dayton for Congressional testimonies and any formal required reports.

According to an unclassified briefing issued in June of 2003 (Central Command 2003), the Survey Operations Center (SOC) was supposed to receive guidance and targets from the Survey Analysis Center. The SOC was supposed to direct and integrate activities of all exploitation, disablement and elimination and collection elements. Additionally, the SOC was directed to orchestrate activities of the sector consolidation point (SCP) and coalition operating bases.

The sector consolidation point (SCP) in Baghdad was directed to dispatch mobile

collection teams with tailored capabilities, depending on the mission and were designated the ISG's "Hunter and Gatherers."

General Dayton, during the briefing, stated that approximately 300 personnel would make-up the actual WMD search teams and that the Survey Analysis Center (SAC) would comprise a total of 120 personnel in Qatar. As the name suggests, the SAC performed analysis. Consisting primarily of professional analysts from different intelligence organizations from the United States, United Kingdom and Australia, the SAC scrutinized reported intelligence details to develop systematic patterns or what SAC personnel prefer to call "threads". From these threads, information collectors direct or redirect their efforts toward targets, human or inanimate, that might provide answers to key questions which serve as a framework for general activities. Additionally, he predicted there would be another 250 personnel in Qatar at the Combined Media Processing Center (CMPC) whose mission was to receive, screen, archive and store thousands upon thousands of documents, videos, computer processing units, tapes, and discs. The Joint Interrogation and Debriefing Center (JIDC) was estimated at the outset to consist of 100 personnel. JIDC's mission was to collect information and report useful intelligence by principally questioning detainees.

Key components of the actual search were to be three chemical/biological intelligence support teams (CBIST), two sector consolidation points (SCP), and fourteen mobile collection teams (MCT). The chemical/biological teams consisted of experts who could evaluate and decontaminate a suspicious site, as well as extract and control proof of the existence of any chemical or biological weapons. The sector consolidation points were simply hubs that received, directed and provided support to the workhorse mobile

collection teams. In practice the MCTs took the shape of vehicle convoy missions comprising collectors and analysts that moved about Iraq attempting to exploit leads and focusing on targets generated by various sources. The Washington, D.C. based Fusion Cell was estimated at approximately fifty personnel. The original purpose of the Fusion Center or cell was to assist the ISG by quickly analyzing the raw intelligence provided by the ISG and integrate it with other available intelligence from other agencies to develop a way ahead. Finally, the Department of Defense's Defense Threat Reduction Agency (DTRA) agreed to contribute a 300 person task force to conduct disablement and elimination operations of missiles and rockets for the Iraq Survey Group. DTRA, formerly the On-Site Inspection Agency, has the responsibility, world-wide, to monitor arms control treaty compliance. Initially, the ISG would consist of a total of 570 U.S. military uniformed personnel, 300 U.S. government civilians and 500 contractors to include linguists. The U.S. component of the ISG would be approximately 1300 while the United Kingdom and Australia hoped to provide forty and thirty personnel respectively. On a lesser scale the Federal Bureau of Investigation, the National Security Agency and other United States Government agencies planned to participate along with over thirty former United Nations Special Commission (UNSCOM) inspectors.

Summary

Chapter one lays the foundation for the theory and serious analysis in subsequent chapters. It sets the stage for this dissertation's real contribution which is to identify specific leadership behaviors that directly link successful strategic military leadership to general leadership theories.

A musical metaphor links military leadership and jazz musicians because it requires its leaders and musicians like Dave Brubeck and General Matthew Ridgeway to be innovative and creative while being well-grounded in the fundamentals. Military leadership and non-military leadership are different because in one of them the stakes are very high and they exist in a stressful combat environment.

The conflict spectrum, ranging from peace keeping to nuclear war and the levels of leadership from strategic to tactical highlight the context within which military leadership must be exercised. Examples from the Korean and Iraq War are discussed to highlight these differences.

In a section entitled “Does Strategic Leadership Matter?” I raise some differences between military and non-military leadership. Subsequent sections focus on the background and experiences of General Dayton as a soldier and a statesman. Additionally, I developed some background data on the Iraq Survey Group (ISG). This data includes key roles, missions, organization, people and equipment of the ISG.

CHAPTER TWO - THEORETICAL BACKDROP

Evolution of theories

Definition

What are leader traits? According to variety of references, a trait is a distinguishing quality of personal character. It is also an attribute, feature, mark, or peculiarity. There is less agreement and more ambiguity among scholars and practitioners of leadership over the precise meaning of traits. In the past trait referred simply to personality, attribute, disposition, ability, and temperament. Yukl (2002) claimed that trait refers to a variety of individual attributes including aspects of personality, temperament, needs, motives and values. As research in individual differences in general psychology became more sophisticated, so did the concept of traits, as well its relationship to behavior and performance (Zaccaro 2004). Allport (1961) demonstrates the term “trait’s” degree of maturity when he defined it as a “neuropsychic structure having the capacity to render many stimuli functionally equivalent, and to initiate and guide equivalent forms of adaptive and expressive behavior.”

Qualitative review of Trait Theory

“Thus, despite the contributions of the Lord et al. meta-analysis, if one were to ask five leadership researchers, in general, whether trait theory was valid and, if so, specifically which traits were valid, one would likely get five different answers (Judge, Bono, Ilies and Gerhardt, 2002)

Ironically, the lack of clarity and unity among investigators of leadership contributes to the resurgence in interest with the trait theory. Until it is clarified and as long as there is “daylight” between the various perspectives on trait theory, there will be interest in revisiting the old paradigm. A full examination of the fundamentals of trait

theory must include a brief snapshot of the earliest form and cousin of trait theory. It is called the Great Man Theory.

Great Man Theory

Power tends to corrupt and absolute power corrupts absolutely. Great men are almost always bad men, even when they exercise influence and not authority: still more when you superadd (sic) the tendency of the certainty of corruption by authority (Lord Acton, 1887).

Trait theories of leadership and associated trait studies represent some of the early thinking with respect to the evolution of leadership theory. The Great Man theory of leadership held that a decision by a great person could alter the course of history.

William James (1880) felt that societal changes were caused by great men who could initiate movement while simultaneously barring others from changing this development.

Woods (1913) conducted a multinational study reviewing national leadership over a period between 500 and 1000 years. He discovered that the leader makes the nation and shapes it consistent with his own capabilities. Some early theorists, such as Galton (1869), explained leadership on the basis of inheritance and extraordinary intelligence.

Carlyle (1841), in an essay about great men or heroes, supported the concept that the leader was someone who was blessed with distinctive qualities and could do great things regardless of the situation.

Mythological heroes and leaders were also cited in ancient literature as possessing special characteristics. Sarachek (1968) analyzed descriptions of Greek leaders in Homer's *Iliad* and reasoned that Agamemnon represented justice and judgment, Nestor demonstrated wisdom and counsel, Odysseus was shrewd and cunning and Achilles emulated valor and action. Over two thousand years ago, Lao-tzu highlighted effective leaders as selflessness, hardworking, honest and fair among other characteristics (Hieder,

1985). Bass (1990) reviewed notions about leader attributes in the early histories and legends from Egypt, Babylonia, Asia and Iceland.

Intelligence, energy and moral force were qualities identified by Dowd (1936) that allowed superior leaders to influence the masses. United States history is full of examples of great men, such as Abraham Lincoln, Martin Luther King Jr., and George Marshall. However, the controversy rages on as to whether traits and/or situations facilitate a leader's success.

Dwight D. Eisenhower provides an excellent example of this debate. As late as June of 1941, Eisenhower was only an Army Colonel serving as a staff officer at Ft. Sam Houston, Texas. He was a very competent staff officer having served as one of Douglas MacArthur's principal aides and speechwriters. Although he was fairly well-known in Washington as a bold and natural leader, he was still a Colonel, untested in war. It is not a coincidence that there was a meteoric rise to Eisenhower's career soon after the attack on Pearl Harbor. General George Marshall, Chief of Staff of the Army, leaned heavily on Eisenhower as a war planner when the United States became involved in World War II. Quickly, Ike was promoted quickly over many peers and superiors to become a warrior commander in North Africa and Europe. Three war-years later, June 6, 1944, on D-Day, Eisenhower was a 5-Star General. One could argue that fifty-one year old Colonel Eisenhower was as competent a leader as fifty-four year old General of the Armies Eisenhower, but it may have been the crisis of war that prevented him from retiring as just another competent Colonel. Or was it? Interestingly, Eisenhower's West Point graduating class, the Class of 1915, is affectionately known as "The Class the Stars Fell Upon". No other class in the history of the United States Military Academy produced a

higher percentage of Generals. It is a fact that of the 164 graduates, fifty-nine (37.2%) rose to the rank of General Officer (Dwight D. Eisenhower Foundation, 2000). Again, one may ask was it personal leadership traits that caused this concentration of promotions, did the world state of affairs or situation make inevitable these promotions or was it a combination of the two notions?

Ordway Tead, educator and leadership specialist, wrote a well-known leadership book, *The Art of Leadership* (1935) in which he presents a “synthetic model” of ten desirable attributes or qualifications for an effective leader. He proposes that some of the attributes are innate and others are capable of self-cultivation or formal training. Tead suggests that all of the qualities are neither required of every leader, nor are they necessary for every leadership situation. Dr. Tead presented the following attributes as ideally desirable:

1. Intelligence
2. A sense of purpose and direction
3. Enthusiasm
4. Friendliness and affection
5. Integrity
6. Technical Mastery
7. Decisiveness
8. Physical and nervous energy
9. Teaching Skill
10. Faith

In an important effort to investigate how one becomes a successful leader in the American military, Puryear (2000) interviewed personally more than one hundred four star generals, admirals, chairmen of the Joint Chiefs of Staff, World War II commanders, and chiefs of staff of the Army, Navy, Air Force and Marine services. He interviewed or conducted correspondence with a thousand junior generals and over ten thousand individuals who served under, with or above generals. It is clear from his investigation that many of our greatest military leaders would argue not to shut the door on some of the principles of the trait theory that specifically indicate that some people are born with or develop certain qualities that are conducive to effective leadership.

One of the theses he examined was whether or not leaders are born and not made. Rather than accept a strict definition of this thesis that includes negating the role of development or training, Puryear's working concept was that an individual is born with specific qualities that "offer the potential in a nurturing environment for successful leadership."

During a discussion about leadership, General of the Army Dwight Eisenhower told Puryear, "There is something to the expression 'born to command' or 'born to lead.' But there are probably many people who have the potential for leadership, just as there are probably many people born with the potential to be great artists that never have the opportunity or the training for the full development of their talents. I think leadership is a product of native ability plus environment. By environment, I mean training and the opportunity to exercise leadership."

Puryear asked another 5-star General, Omar Bradley, about the born leader issue and his answer was clear, “I would say some are born. A person can be born with certain qualities of leadership: good physique, good mental capacity, curiosity and the desire to know... (B)ut there are qualities one can improve on; a thorough knowledge of your profession is the first requirement of leadership, and that certainly has to be acquired. Observing others is important. Studying Lee, other Civil War leaders, Jackson, Lincoln. Trying to see what made them great”.

During an interview former Chief of the Staff of the Army, General J. Lawton Collins, a strong advocate of the born leader thesis, said, “Only a limited number of people combine the necessary qualities of character, integrity, intelligence and a willingness to work, which leads to a knowledge of their profession, to become our successful leaders. There are God-given talents we inherit from our forbearers.” However, he adds that there are techniques of leadership that “anybody can learn if given a modicum of intelligence and a willingness to work”.

On the other hand Puryear found military leaders who did not discount the value of being born with or inherit specific traits, but recognized the importance of cultivating, developing and training leaders. General Carl Spaatz, a World War II air commander felt that leaders must be born with certain characteristics, but the final leader-outcome is more dependent on what takes place after birth. General Mark Clark, a competent World War II and Korean War general said that most leaders are made. He said that if a person has ancestral military lineage, it is likely that he or she inherited leadership qualities. Also, he adds there are some inherited qualities that make one a good leader; “but many who don’t have these qualities develop them when opportunity knocks. I have seen many

times in combat where somebody who is small and meek...and he becomes a Medal of Honor winner”.

The Ninth Army Commander during World War II, General William Simpson, believed that there were very few natural leaders. He said, “Everyone is not a born leader. Leadership can be learned.” Replying to the comment that leaders are born and not made, the senior American Commander in China during the latter part of World War II, General Albert Wedermeyer, said, “No, I don’t agree with that. I think there are some men who have a better chance of developing into leaders. This is primarily because of their interest in the activities that lead to leadership. I think most genius is the result of hard work; and any young man, if he has guts and stick-to-itiveness, can make good in life, if given an average body and mind” (Puryear, 2000, p.374).

Comments by General Anthony McAuliffe, World War II commander, seem to capture the essence of what is thought by most of the World War II leaders who support the born leader thesis. General McAuliffe, the division commander who uttered the infamous “Nuts” to the demand by the German Sixth Army that had surrounded his unit at Bastogne, believed that the decisiveness of leadership was a quality that man could develop...only to an extent. However, he felt that one had to be born with a large measure of it. McAuliffe also believed that leading masses of men is something that is a God-given gift emulated by people like Douglas MacArthur, George Patton and Field Marshall Bernard Montgomery.

Even though the United States Army lives and breathes leader doctrine, it does not have a monopoly on leadership. Most students of multi-disciplinary organizational leadership, especially the business world, know the infamous deeds of Jack Welsh. Welsh

engineered the greatest industrial turnaround in history when he resuscitated General Electric Company back to life. He has written profusely about his business leader models and the qualities and traits he feels are essential to effective leadership.

The Chairman, President and Chief Executive Officer of the largest and most successful United States Defense Contractor, Lockheed Martin Corporation, Robert Stevens, introduced a “Full Spectrum Leadership” model to position the business for continued success in the future fraught with looming federal budget deficits, intensifying competition and a world of changing labor demographics.

Stevens stated, “ (W)e need full spectrum leaders: those who are rock-solid performers-they get results, meet objectives and put numbers on the board- while exhibiting strong leadership behaviors. They have great interpersonal and communication skills that encourage and guide employees, stimulate and advance teamwork, that inspire trust and energize others, and that represent the company well to a diversity of outside constituencies” (Stevens, 2006, p.11).

The Full Spectrum Model comprises five key imperatives: Shape the Future, Build Effective Relationships, Energize the Team, Deliver Results, Model Personal Excellence, Integrity and Accountability:

Shape the Future - directs leaders to be forward thinkers, creates visions, and sets the courses of action available in the marketplace.

Build Effective Relationships – leaders must be able to establish and maintain effective relationships with their peers, employees, customers, communities and any other sphere that influences LM business.

Energize the Team – those leaders who create positive work environments, where people are excited about their contributions, where they are inspired to be actively engaged, where they understand expectations and that the bar of excellence is set high. These leaders value diversity and foster inclusion.

Deliver Results – leaders continually drive operational excellence, create shareholder value, and adapt with agility to changing circumstances.

Model Personal Excellence, Integrity and Accountability- in order to be stellar role models who do the right thing always and demonstrate values of honesty, transparency and truthfulness.

Finally, according to Marilyn Figlar, Lockheed Martin's Vice President of Leadership, "(t)he Full Spectrum Leadership model provides a comprehensive framework for leadership excellence, and becomes the integrator of all our efforts to achieve strategic priorities for growth, performance and delivering greater value to our customers" (Today, Jan 2006, p.11).

The field of education also values and studies leadership. In a relevant study that investigated whether or not leadership can be taught, the researchers concluded that most educators felt that personality characteristics or traits provide at least a portion of the foundation upon which leadership skills are built. It is agreed that individuals will grow and change physically, intellectually and socially. However, "this early grounding and foundation may strongly influence the choice of career or profession, the style or attitude toward work relationships, and the approach of managerial roles and interactions, including leadership roles" (p.54).

Drilling down into trait theory

“The trait perspective suggests that certain individuals have special innate or inborn characteristics or qualities that make them leaders, and it is these qualities that differentiate them from nonleaders” (Jago, 1982).

Trait theory materialized from the assumption that if leaders are born with exceptional qualities that distinguish him or her from a subordinate, then it may be possible to identify those attributes. During the first half of the twentieth century, leadership research indicated that certain physical and psychological attributes predisposed individuals towards leadership positions (Hackman & Johnson, 1991). From the late 1800’s until Stogdill’s (1948) critique of it, trait theory dominated thinking in leadership research. Gowin (1915), Kohs & Irle, (1920), Bernard (1926), Bingham (1927), Tead (1929), Page (1935), Kilbourne (1935), Bird (1940) and Jenkins (1947) focused on leadership in terms of traits of personality and character. Until the 1940’s most research about leaders focused on the individual traits of consequence. In the late 1940’s “pure trait theory fell into disfavor.” Stogdill (1948) claimed that both person and situation had to be included to explain the emergence of leadership (Bass, 1990).

Specifically, two surveys conducted by Stogdill (1948, 1974) provide an excellent overview of the trait approach. In one survey Stogdill reviewed over 150 studies that were completed between 1948 and 1970. In the other survey Stogdill analyzed 124 trait studies that were conducted in the first half of the 20th Century.

In the smaller survey conducted between 1904 and 1948 his analysis revealed eight “leadership” traits that were related to how individuals in different groups became leaders. These traits were intelligence, alertness, sociability, insight, responsibility,

initiative, persistence and self-confidence. However, Stogdill downplayed the role of traits by revealing they were not singularly responsible for the emergence of a leader. Stogdill was one of the first credible researchers who suggested that situational factors were also linked to the way in which individuals became leaders. He also stated that leaders in one situation may not necessarily be leaders in another situation. Stogdill's findings demonstrated that leaders did not operate in a vacuum and that leadership resulted from a working relationship between the leader and group members.

In 1974 Stogdill released the results of the other survey. Northouse (2004) claimed that this survey was more balanced when describing the relationship between traits and leadership. "... (T)he second survey argued more moderately that both personality and situational factors were determinants of leadership. In essence, the second survey validated the original trait idea that the leader's characteristics are indeed a part of leadership".

Lord et al. (1986) and Mann (1959) claimed that personality traits could be used to make discriminations consistently between leaders and non-leaders. Mann's results identified leaders as strong in the following traits: intelligence, masculinity, adjustment, dominance, extraversion, and conservatism. Stogdill (1974) identified the following traits that were positively associated with leadership:

- drive for responsibility and task completions
- vigor and persistence in pursuit of goals
- venturesomeness and originality in problem solving
- drive to exercise initiative in social situations

- self-confidence and sense of personal identity
- willingness to accept consequences of decision and action
- readiness to absorb interpersonal stress
- willingness to tolerate frustration and delay
- ability to influence other person's behavior
- capacity to structure social interaction systems to the purpose at hand

Kirkpatrick and Locke (1991) claimed that leaders can be born with specific attributes. They identified six traits that clearly distinguish leaders from non-leaders: cognitive ability, honesty and integrity, self-confidence, drive, the desire to lead, and knowledge of the business.

There is no conclusive qualitative or quantitative evidence of any universal traits relative to successful leadership. House and Aditya (1997) determined that there were few, if any, common traits associated with effective leadership. Conger and Kanungo (1998) felt the trait approach was “too simplistic”. Other leadership researchers have said that the situation is more important in determining leadership behavior (Yukl and Van Fleet, 1992).

Boomerang of interest in Trait Theory?

There has been renewed interest in the trait theory and its description of how traits influence leadership (Bryman, 1992). In a recent review of pertinent research on trait theory Judge, Bono, Ilies and Gerhardt (2002) found some interesting aspects worth highlighting. Since their research focused on personality, they stripped away intelligence, motivation and knowledge traits to enable them to gain a clearer picture of commonality.

In their research sociability, integrity, adjustment and self-confidence appear in multiple reviews as related to leadership emergence or effectiveness.

Lord, Devader and Alliger (1986) discovered that personality traits were strongly linked to an individual's perception of leadership. Other researchers claim that effective leaders are, in fact, distinct types of people in several key respects (Kirkpatrick and Locke (1991). The resurgence of interest in trait theory includes studies of charismatic and visionary leadership (Bennis & Nanus, 1985).

Durable theories like trait theory have been picked apart by a passel of researchers. They have discovered some strengths that are not only intuitively appealing, but also have endured the test of time. There exist also weaknesses that diminish the effectiveness of the theory.

Positive characteristics of the theory

Trait theory has “intuitive appeal” because most people like to think their leaders are different from them and that dissimilarity is due to the leader's attributes or traits. Certainly the media portrays leaders as people imbued with unique gifts who can behave in a special manner as they protect their “flock” by leading from the front.

The exclusivity of the nature of trait theory has allowed researchers to focus on the traits of leaders' traits and their relationship to the process of leadership. Reduced to the very basics, the leadership process normally includes leaders, followers and situations. However, in the case of trait theory researchers have been able to “drill down” deeper into the linkage of leader traits to other components of the manners, development and methods of those who lead.

Few other theories have the support of over one hundred years of research. “The

strength and longevity of this line of research give the trait approach a measure of credibility not afforded other approaches. Additionally, out of this abundance of research has emerged a body of research that points to the important role of various personality traits (Northouse, 2004).

Weaknesses of the theory

Although reported as a strength, the narrow concentration on leaders' traits may be viewed as a weak point, as well. Focusing on leader traits while ignoring or placing considerably less emphasis on the situation and on the followers which are important components to the leadership process, might yield very specific results that may not be generalizable to a much larger population. Stogdill's contention has always been that the same specific traits or attributes that might make them leaders in one situation may not necessarily be the same ones to make them leaders in another situation (Stogdill, 1948).

Two of the larger sub-categories of leadership research are the bodies of knowledge that are concerned with "emerging" and "maintaining" leadership. Those characteristics that might help a person to emerge in a group as the leader may not be the same attributes as what might be required to maintain the leadership role over a longer period of time.

One of the most common criticisms of trait theorists is that their research normally generates long lists of traits. Compounding this difficulty is that the lists of traits are not always similar. Often times, trait theory researchers choose to group or categorize their variables differently, as will be demonstrated later. All of this causes the findings from studies conducted over the past century to have become diluted and ambiguous.

The highly subjective nature of trait theory weakens its authority. The determination of the most important leadership traits is not normally derived from empirical analysis. This bias is readily evident in the numerous self-help leadership and management books that fill the bookshelves of chains of bookstores. Although these practice-oriented books are sometimes useful, they usually fall far short of explaining any real methodology behind the generated list of traits.

Northouse (2004) raises two other shortcomings worth noting here. First, he claims that trait researchers are responsible for failing to review traits and their linkage to leader outcomes. For example there is a dearth of trait oriented research that looks at leader traits and their relationship to productivity, as well as leader traits and subordinate satisfaction. Second, he raises an important issue concerning training and professional development. If one accepts the premise that traits are “fixed psychological structures”, then it follows that learning new behaviors to develop a trait has the potential to be problematic. To develop a program whose purpose is to teach an introvert how to become an extravert may be as challenging as it would be stressful for an extraverted person to learn how to become introverted. Similarly, it would take much more than a simple training course to improve a manager’s Intelligence Quotient (IQ).

Before plunging into the three constructs to be explored in depth, it is important to review literature that focuses on very specific strategic and executive leadership behavior. Compared to general leadership literature, there is a paucity of quality writings focused on executive leadership. In the next section I will attempt not only to identify significant skill sets reported in reputable military and civilian literature, but also to link and expand what we already know about trait theory to those skill sets. This process will facilitate

further linkage to General Dayton's reported behavior and therefore allow me to make some observations and potentially expand what we already know about the trait theory of leadership.

Strategic and executive leadership: military and non-military

Lewis and Jacobs (1992) concluded that "the fundamental individual difference variable that most often distinguishes successful strategic leaders from unsuccessful ones is the extent to which leader's conceptual capacity meets or exceeds the conceptual demands inherent in their work. Those promoted to strategic leadership typically already possess the requisite interpersonal and technical skills needed to be successful" (p. 541).

Commonly referred to as DA PAM 600-100, Department of the Army Pamphlet 600-100, *Army Leadership* (1993) maintains that strategic leadership exists at the highest levels throughout the Army which would include senior military and civilian leaders at Field Army through national levels.

Strategic leaders establish structure; allocate resources, and articulate vision. Skills required for effective leadership at this level include technical competence on force structure and integration, unified, joint, combined and interagency operations, resource allocation, and management of complex systems; conceptual competence in creating policy and vision; and interpersonal skills emphasizing consensus building and influencing peers and other policy makers—both internal and external to the organization. Strategic leaders focus on the long-range vision for their organization ranging from 5-20 years or more (p.1).

The assumption in the Army's doctrine is that the strategic leader who creates a vision for the organization expects to have a long term mission which is five to twenty years or more. Although no senior civilian or military leader has committed to a timeline for troop removal from Operation Iraqi Freedom, no reasonable person associated with the Iraq Survey Group expected its mission to last longer than a couple of years. Consequently, the Iraq Survey Group closed its doors in 2004 the year after it was established. If General Dayton had a vision to leave Iraq with the truth about Iraqi WMD

which was consistent with his mission, it was not the traditional long term vision as it was published in AR 600-100.

Chapter Two of the regulation (AR 600-100, 1993) promulgates responsibilities for General Officers and senior civilians. They are responsible for establishing fundamental tenets of the Army ethic; creating and communicating the Army vision; creating policies, structures and programs; and strengthening the Army's values through their own behaviors. Finally, the regulation states that strategic leaders are responsible for the total Army culture. Unfortunately, the term *total Army culture* is not well-defined in the regulation.

Another military publication that focuses solely on executive leadership claims that leadership skills at the military executive level are built on a foundation of skills developed at the direct /tactical and organizational/operational levels (Department of the Army Pamphlet 600-80, *Executive Leadership*, 1987). They include:

- establishing or maintaining the culture and values of the organization
- building and/or tailoring organizations to establish future capabilities
- building consensus and providing resources programs/thrusts over long periods of time
- managing systematic change to achieve future capability
- creating policies and principles of operation so positive command climate and cohesion can be created at lower echelons
- creating the conceptual framework within which subordinate echelons operate
- growing subordinate leaders through mentoring and coaching
- representing their organizations and the nation when so instructed, in interaction with officials from other armed forces and other nations
- envisioning in a time frame well beyond ten years (p.6)

Since the scope of the Iraq Survey Group's work was strategic by nature, most of the above skills are applicable to General Dayton. Again, a long term vision is not something that the ISG's creators, leaders or followers felt was critical to its success.

Executive military leaders must be able to devise and maintain sources of information that allow them to sense how their organization is performing. The Army labels these systematic sources as a leader's "feedback loop". "At the executive level, both internal and external feedback loops are requirements for effective leadership" (p.7).

Noteworthy is a section in that Army publication that gives guidance to executive leaders in multinational and national environments. Executives must have an international perspective and an understanding of the political, economic, military, and social factors in other countries. "An equally profound national perspective is required for testimony to Congress, and interactions with executives of other federal agencies, state and local political leaders, the media and other leaders...who influence national attitudes towards the military" (p.13).

It will be shown that General Dayton maintained an international or coalition perspective and developed his own information feedback loops. His natural curiosity coupled with his access to various sources of information allowed him to fully develop strategic perspectives from political, military, economic and social angles. One of key components to General Dayton's effectiveness was his comfort testifying in front of Congress as well as his ease of maneuvering within the interagency process.

According to this official Army pamphlet, leaders at all levels not only require skills and abilities in three general areas, but also varying amounts of those skills based on the level of leadership being exercised: technical, interpersonal and conceptual.

Technical Skills

At the executive level technical skills which are often associated with the

cognitive and/or intellectual trait focus on solving “ill-defined problems”, “intangibles”, and “indirect effects” which can influence the whole organization. “Many of the technical decisions facing executive-level leaders have to do with the assessment of organizational capabilities and with organizational structuring” (DA PAM 600-80, 1987, p.13).

Interpersonal Skills

Executives must use interpersonal skills for negotiation and collaboration because relationships at that level tend to be “primarily lateral and without clear subordination” (p.15). These leaders must use effective reasoning and logic while building the perception that their ideas are rational.

Conceptual Skills

Environmental Scanning- an effective executive is one that is resourceful; knowing where and how to search the environment for important and relevant information.

Decision Making- successful executives must be able “to isolate and identify important issues, visualize and predict potential problems, and formulate least-risk solutions” (p.15).

Reducing Complexity- while understanding the context and purpose of the organization, the executive must be able to “set azimuths” for everyone.

Non-military executives

“As a group, the non-military studies of requisite executive leader characteristics are less idiographic and more rigorous than the military studies” (Zaccaro 2000, p.108)

As noted in Chapter 1 of this dissertation, leadership researchers are showing increasing interest in executive leadership and some of their efforts are focused on non-military executive leadership. Although interest is increasing, “studies of executive leadership and high level conceptual capacities are relatively rare” (Zaccaro 2000, p.102).

To become effective executive leaders Zaccaro identifies five general categories of requisite characteristics and many associated skills; cognitive capacities, social capacities, personality, motivation, and knowledge and expertise. Zaccaro links cognitive capacities with intelligence, analytical reasoning, flexible integrative complexity, metacognitive skills, verbal/writing skills and creativity. Personality is linked to openness, adaptability, flexibility, risk propensity, locus of control, self-discipline and curiosity. Zaccaro connects motivation to need for achievement, self-efficacy, and need for socialized power. Social capacities as a category are related to behavioral flexibility, negotiation skills, conflict management skills, persuasion skills, and social reasoning skills. Finally, Zaccaro highlights knowledge and expertise as a category connected to functional and social expertise, as well as knowledge of environmental elements.

It is worth highlighting some of the work Zaccaro summarizes that is relevant to this dissertation. In a survey of 1,358 managers at three levels in companies from four industries Baehr (1992) found that executives or upper level managers displayed higher creativity than middle or lower level managers.

In research that may suggest that executive leadership is situational, Norburn (1986) surveyed and interviewed 354 executives from industries experiencing growth, turbulence and decline. Norburn found that executives from “growth” industries were more likely to indicate intelligence and creativity as requisite top leader characteristics

than executives from “turbulent or declining industries”.

Dollinger (1984) surveyed eighty-two owner/operators of retail and manufacturing companies and discovered that integrative complexity was significantly correlated with intensity of boundary management. Here intensive boundary management refers to the amount of time spent with external constituencies.

Intelligence, personable style, intuition and analytical abilities were some of the characteristics found to be important in a study of fifteen corporate general managers by Kotter (1982).

Interviews and observations involved in a study conducted by Isenberg (1984) concluded that requisite executive qualities include intuitive thinking abilities, problem management skills and an ability to tolerate ambiguity and deal with anxiety.

Ratings of presidential intellectual brilliance were significantly associated with historian ratings of presidential performance in an archival study carried out by Simonton (1986).

Rushmore (1984) surveyed 208 executives at three organizational levels and observed that executives displayed higher mental ability and cognitive creativity than middle-level managers and first-line supervisors.

Having set the stage with the trait theory and strategic/executive leadership as the stage wings, it is important to turn to the three backdrops used in this paper: intelligence, integrity and personality.

Intelligence (Cognitive capacity/ability)

“Indeed, the environment within which senior organizational leaders now must operate is of such complexity that leader’s success has become predicated on the possession and application of higher order cognitive abilities and skills” (Zaccaro, p. 21)

Introduction

At some point during the seconds, minutes or hours after the World Trade Center's Twin Towers collapsed on September 11, 2001 most humans recognized that the world would never be the same as it was on September 10, 2001. Among countless changes, it may have signaled the end of a significant era of leadership; military and civilian. In many military minds that day closed the book on the 3rd generation of warfare and launched the 4th generation. The first three generations of modern war focused on massed manpower, massed firepower and maneuver respectively. The 4th generation of warfare is described as a complex engagement fought along the entire spectrum of conflict and across the full continuum of human activity and engaging in new means of national power. Warfare in the 4th generation would be a clash of adaptive systems (Hendricks, 2003). Authors of new military doctrine avoid classical descriptions of Newtonian "linear battlefields" in which red forces opposed blue forces on nicely printed maps oriented East and West where unit boundaries are almost always drawn on well delineated geographical features on prominent terrain such as rivers, ridges, roads and even desert wadis. In advanced warfare asymmetric operations become a military maxim. It describes non-linear battlefields on which commanders at all levels would have to conduct operations in amorphous combat environments that confound their ability to identify, exploit or apply United States superior military power against the enemy's center of gravity. Junior officers would now have to embrace new views of doctrinal warfare that use science metaphors that describe the conduct of warfare in biological rather than mechanistic terms. Hendricks (2003) posits that methods and conduct of warfare has changed, not the nature of warfare.

During an American Enterprise Institute Conference on the future of the United States Army, attended by academics and the most senior military luminaries, retired and on active duty, one of the panelists, an Assistant Professor of Military Science at Georgetown University made clear three very important points:

- Creating adaptive leaders to deal with changing warfare is one of the Army's greatest challenges
- Army culture must evolve to support required changes in leader development
- 4th Generation Warfare requires a new United States Army culture that stresses innovation, prudent risk-taking and mental agility which is different from today's culture (Vandergriff, 2005).

Military doctrine (Field Manual 100-5 Operations) states that commanders have two primary tasks: leading and deciding. Decision-making is described as knowing if to decide, then when and what to decide. Commanders at the tactical, operational and strategic levels are all considered decision-makers. The process of decision-making is becoming more sophisticated and complex as the military transforms itself with digital technology. Precision-guided munitions, "Star Wars" sensors and network-centric operations have placed a tremendous burden on military leaders. The decision-making process is quickly becoming more intricate, and more taxing on cognitive resources (Shattuck-2000). Digitization presents decision makers with unlimited access to mountains of data. The information though must be amplified, interpreted and integrated depending on the situation. Human beings, unaided by technological means, conduct this critical process of information-interpretation. Examples of this linkage between advanced technology and human interpretation or data analysis are the "friendly-fire" or fratricide

incidents on the modern battlefield. In April 2002 four Canadian soldiers were killed and eight soldiers were wounded when an American F-16, the world's most advanced fighter jet, accidentally dropped a bomb on a night time live firing exercise. In spite of the sophistication and complexity of the munitions management system, the data still needs to be interpreted and the trigger still needs to be pulled by a human being.

What makes this so complex for senior leaders? The answer is that information processing demands increase exponentially at higher organizational levels. "The complexity of information processing follows from the data that executive leaders must assimilate and the cognitive structures they require for a fully integrated representation of diverse organization-related information" (Zaccaro, 2001 p.22).

Personal intelligence in military circles is traditionally viewed simply as technical competence or technical mastery of the portfolio assigned to a particular organization. "The more the leader can know first hand about the technique employed by all in his group, the wiser will be his grasp of all his problems" (Tead, 1935). As the military has become increasingly technically sophisticated, it is nearly impossible for one leader to completely master all of its complex systems. It is now even more important for leaders to be able to select and employ wisely an organization's technical specialists.

Does successfully dealing with complexity and ambiguity require more brainpower?

The work of senior leaders normally deals with multiple solution paths that in turn increase the total information load. Couple this with the fact that executive or senior leaders have to deal with multiple stakeholders both internally and externally. Additionally, many senior leaders must be aware of a variety of complex situational and environmental forces and influences such as economic, political, legal, technological, and

military. Multiple solution paths lead to multiple outcome possibilities involving often times ambiguous associations between defined solution paths and outcomes. Campbell (1988) purported that all this contributes towards high information processing which in fact leads to greater task complexity.

Contributing to the operational complexity and complicating the environmental and situational forces today are the inherent ambiguity and lack of definition in existence (Mumford, Zaccaro, Harding, Fleishman and Reiter-Palmon, 1993). Anderson (1990) organized some clear thinking about a term the author labels as “*problem space*”. Problem space consists of an initial situation and the factors facing the problem-solver (*initial state*), the multiple paths to possible solutions (*intermediate states*), and the desired solution or goal (*goal state*). Clearly distinctive or specified initial, intermediate and goal states combine to make a well-defined *problem space*. The leader or problem-solver in this case walks through a series of predictable steps to achieve a solution.

However, in those cases where there is not a well-defined problem space, it would be reasonable to presuppose that the problem-solver must deal with more ambiguity. Poorly defined problems comprise unspecified and vague starting parameters, potential solution paths and uncertain solution goals (Holyoak, 1984). Mumford, Zaccaro, Harding, et al. (1993) proposed that the proportion of ill-defined problems typifying the work of problem-solvers or leaders rises as one “ascends the organizational hierarchy.”

Leaders of the 4th generation of warfare will have to direct their efforts towards synchronizing their actions to maximize their influence not only in the military sphere but also in the political, economic and social fields of interest as is clearly the case with the search for Weapons of Mass Destruction. Information operations that consist of, in part,

military activities conducted against enemy command and control nodes will be essential. This will demand that military leaders, especially strategic ones, should be well versed in a variety of subjects.

The complexity of the work has been defined in part by Jacques (1978, 1986, 1990) as the longest time span related to the completion of required work. The lowest or direct levels of an organization normally focus on the immediate task at hand. The higher one ascends in the organization, the more it seems the focus of required work is on long term goals and a vision for the organization. It is not uncommon for strategic leaders to create visions that extend twenty to fifty years. These future operational time spans contain significant information loads and ambiguity. Successful strategic leaders might then be partially defined as those who successfully navigate through the complexities and uncertainty of ill-defined problems.

The complexity of senior or systems level information processing requires a sophisticated cognitive infrastructure and includes multifaceted data that executives must assimilate quickly. Campbell (1988) and Schroeder et al. (1967) defined task complexity as (a) information load, (b) information diversity and (c) rate of information exchange. Information load generally refers to the number of information sources. Information diversity is the number of alternatives associated with each information source. Rate of information change is the ambiguous nature of information sources.

Some consistent results in the area of leadership research have begun to emerge. A meta-analysis of the relationship between personality traits and leadership perceptions conducted in the 1980's by Lord, DeVader & Alliger (1986) found that several traits including intelligence were significantly related to leadership.

In *Are Leaders Smarter or Do They Just Seem That Way*, Robert Rubin, Lynn Bartels, William Bommer, (2002), claim that there has been revival of interest linking leadership traits and leader emergence (Foti & Gerhenhoff, 1999; Kickal & Neuman, 2000; Kirkpatrick & Locke, 1991; Taggar, Hackett & Saha, 1999). Bass (1990) demonstrated that intelligence was a strong individual predictor of leadership emergence in small groups. Kickall & Neuman (2000) revealed that cognitive ability or intelligence and extraversion and openness to experience distinguished leaders from non-leaders. Similar to research conducted by Heslin (1964) they also found that intelligence was predictive of group performance. And according to Bass (1990) individuals of higher intelligence are more likely to be more task-competent and emerge as leaders in any situation. Kickal and Neuman concluded in their study that cognitive ability or intelligence may both predict who emerges as the leader and assist in determining the overall effectiveness of the group.

Although self-monitoring is not a central focus of the present study, it has been shown to be a strong predictor of leadership emergence. Coupled with intelligence they may act together to create a perception of intellectual competence (Rubin, Bartels and Bommer, 2002; Crenshaw & Ellis, 1991).

Leadership perceptions

“A prince will never lack for legitimate excuses to explain away his breaches of faith. Modern history will furnish innumerable examples of this behavior, showing how the man succeeded best who knew best how to play the fox. But it is a necessary part of this nature that you must conceal it carefully; you must be a great liar and hypocrite. Men are so simple of mind, and so much dominated by their immediate needs, that a deceitful man will always find plenty who are ready to be deceived.” Machiavelli

According to the implicit leadership theory, leadership emergence focuses on the follower's perception of the leader. In those situations when followers perceive

individual traits that are consistent with the followers' leadership prototypes, the followers infer he or she is a leader (Lord & Maher, 1991). Researchers conducted a meta-analysis to re-examine the linkage between leadership and personality traits. In this case the researchers use a much broader definition of "personality" that includes attributes such as intelligence and openness to experience. They discovered that the personality traits of intelligence, masculinity-femininity and dominance were all significantly related to leadership perceptions. They also concluded "traits may be important organizational constructs for perceivers" (Lord, DeVader and Alliger, 1986). Five years later Zaccaro, Kenny and Foli (1991) demonstrated that traits accounted for fifty-nine percent of the variance in leadership emergence. More recently, Foti & Gershenoff (1999) argued that perceptions of leadership may be far more important than actual leadership measured by group effectiveness.

Studies have shown that emergent leaders are active participants who may possess a trait or group of traits that have an effect on the group (Rubin et al., 2002). In leadership emergence literature one of the traits that has received consistent attention is intelligence (Atwater & Yammarino, 1993; Kickal & Neuman, 2000; Tagar et al., 1999; Ellis & Crenshaw, 1992).

Bass (1970) found a positive correlation between leadership and intelligence. Foti & Gershenoff (1999) and Bass (1948) discovered that emergent leaders are more intelligent than non-leader group members. Stogdill showed that leaders were more intelligent than non-leaders with an average correlation of .28 and others as high as .90. Studies conducted by Mann (1959) and Taggar (1999) had similar results. Specifically, Mann commented that "there would seem to be little doubt that higher intelligence is

associated with the attainment of leadership in small groups” (p. 248). Kickal & Neuman (2000) discovered a major difference between leaders and followers with respect to intelligence. Foti & Gershenoff (1999) found that intelligence is significantly predictive of leadership emergence in all-male and all-female groups.

It is important to note there is a difference between a person being intelligent and a person appearing intelligent or being perceived as being intelligent (Geier, 1967). Lord and Maher (1991) claimed that the perception of leadership traits is more important than actually having the traits. Rubin et al. (2002) focused their study on perceived intelligence. They felt that because perceived traits and leadership perceptions are both perceptual variables that followers’ perceptions of whether a person possesses leadership traits should be more predictive of leadership emergence than should objective measures of those traits. In fact their findings were consistent with prior research and that intelligence significantly predicted perceived intellectual competence. It is interesting to note that the strong relationship they confirmed between perceived intellectual competence and leadership emergence lead them to “contend that some less intelligent leaders are able to emerge as leaders by creating the perception of intelligence (Rubin, p.115).

4th generation warfare and the ISG

Earlier it was noted that “problem space” comprising initial, intermediate and goal states was a theoretical template that facilitates the solution of a problem. Problem solvers and/or leaders might see it as a systematic technique to identify, approach, engage and overcome obstacles. In the past conventional thinking on problem solving that takes the shape of operational assessments in the U.S. Army has been dominated by

measurable factors or determinants such as *time*, *space* and *forces*. These determinants are valid when the enemy belongs to a nation-state army with particular tactics, techniques, procedures and force structure. Future strategic leaders may have to take into account that the enemy, be he Osama bin Laden, or be it the amorphous Al-Qaeda do not behave predictably and that *time*, *space* and *forces* are not measured in the same way.

Today the *time* or temporal component is seen as relative to the enemy's capacity to respond to our actions and remains an important strategic parameter (Chase, 2002). And hardly a day passes in the media without some reference to United States troop exit strategy from Iraq and Afghanistan. Normally those strategies are linked to a timeline. Since Al-Qaeda does not rely on large troop mobilizations or synchronize numerous moving components, "*time*" as a planning factor or determinant in problem solving is perceived differently. Enemies employing 4th Generation warfare, such as Al-Qaeda, are patient and unpredictable and they operate on ambiguous time schedules. While planning and executing collection missions, ISG analysts and operators factored in the cultural differences associated with temporal factors. For example, convoy planning routes and times were varied as much as possible to become as unpredictable.

Space as a planning factor defines the physical parameters in a military operational environment. No longer do military planners think in linear terms as mentioned previously. An enemy that is not restricted by nation-state boundaries while manipulating information from high technology communication systems and satellite information does not have to deploy its forces in a traditional or conventional manner. No where in the world is this more evident than in Iraq. There are no traditional operations maps drawn as there were during the Cold War days that depicted defending blue or

friendly forces on one side of the Fulda Gap and attacking red or enemy forces on the other side.

Finally, *force* dynamics are operational planning factors that commanders in the past have used to develop force ratios, force requirements and exploitable weak points and centers of gravity. In Baghdad the insurgency does not concern itself with empirical ratios and correlations of forces. They are successful even though they are well outnumbered because they are well outnumbered because they remain dispersed and keep their command and control decentralized.

Unfortunately, the Iraq Survey Group was intimately familiar with operating against a 4th Generation Enemy. Two ISG members, Sergeants Baker and Roukey lost their lives to 4th Generation enemy tactics, techniques and procedures when an explosion destroyed the facility for which they were providing security.

Emerging leaders must know not only the degree to which their environmental and operational dynamics are different, but also they will have to be more skillful, more aware, better educated and more flexible than enemy emerging leaders. It is also clear from this phenomenon that the United States Army, while fighting against a sophisticated enemy, compounded with ever increasing ambiguous situations, requires that its leaders be able to handle large amounts of complex data in order to quickly make life and death decisions.

Arguably, the world is a more dangerous place today and it is even more crucial to have bright strategic leaders who understand the “big picture”. Globalism and the attendant transnational issues, economics, politics, religion and current instabilities complicate and crowd the world stage. It is logical that only those actors who understand

how all of these features are inextricably woven together will perform well. Likewise this complex arena demands that senior civilian and military leaders know more than just military strategy, tactics, techniques, procedures and technology. Strategic leaders must possess more than intelligence to become successful. There must be a moral component in the character composition of the leader. Berger claims that humans are genetically predisposed to be ethical leaders imbued with integrity. “Leaders tap into a basic human need”. Humans are “congenitally compelled to impose meaningful order upon reality” (Berger, 1967, p.22). Therefore, leadership is fundamental to the human condition. From this perspective, providing leadership can be seen as an ethical duty. Consequently, the foundation of a quality leader’s philosophy consists of ethical principles and values such as integrity.

Integrity

Chosen over 34 officers senior to him, George C. Marshall became Army Chief of Staff in 1939, a time of great uncertainty about the future of the free world. Part of his appeal for President Roosevelt was his strength of character and *personal integrity*. The honesty and candor that Marshall displayed early in their relationship were qualities the president knew he and the nation would need in the difficult times ahead. (Army Field Manual 22-100, August 1999)

The year 2005 was filled with political upheaval and natural disasters, as well as the usual intrigue in the entertainment industry. Many Americans turned to on-line references such as Google and the Merriam-Webster Dictionary to help find and define words or concepts of interest. Words such as tsunami, filibuster, levee, refugee and conclave were in the top ten words of the category “most frequently looked up words.” Curiously, the most frequently searched word in 2005 was “integrity” (Associated Press, 2005).

Integrity is vital in the business world. When asked how essential integrity was as a leadership quality, Roland Smith, then President and Chief Executive Officer (CEO) of Arby's Corporation, replied that it was important enough to him that he personally hosted and taught professional development seminars, whose themes were ethics and integrity, attended by his senior vice-presidents and leaders (Telecon November 1998). Smith's dynamic leadership style served him well and he became the CEO of the American Golf Corporation and ranked the fifth most powerful figure in golf after legends such as Jack Nicklaus and Tiger Woods (Golf Inc. 2004).

The necessity for ethical behavior and specifically integrity in America's corporate culture is demonstrated by the ongoing spate of penalties distributed by the judicial branch of government. Martha Stewart, one of the richest women in the United States, was sentenced to several months in prison, house arrest and forced to wear an electronic ankle bracelet for unethical behavior. Specifically, Ms. Stewart was found guilty on four counts of conspiracy, obstructing justice and lying to investigators about a well-timed stock sale. Former WorldCom Chief Executive Office (CEO) Bernard Ebbers was convicted in 2005 of federal fraud and conspiracy charges for his part in a massive accounting fraud estimated at \$11 billion. In 2004 a state judge declared a mistrial in the case involving former TYCO CEO L. Dennis Kozlowski and former Chief Financial Officer Mark Swartz, who were accused of stealing \$600 million from the company. The judge said there had been undue pressure on one juror and ordered a retrial. Adelphia Communications founder John Rigas and his son were convicted in federal court in 2004 of conspiracy, bank fraud and securities fraud. Enron former chairman and CEO Kenneth Lay, former CEO Jeffrey Skilling and chief accounting officer Richard Causey are being

tried early in 2006 on federal fraud and conspiracy charges.

Unfortunately, the list of morally bankrupt business leaders possessing little to no integrity does not end with these examples.

Although it is not as prevalent, the United States military is not without unethical leaders. Brigadier General Janis Karpinski, a military police brigade commander, now closely linked to prisoner abuse committed at Abu Gharib prison in Iraq was demoted to the rank of Colonel and may see additional punishment, in part, for her alleged lack of integrity as a commander. The United States Air Force has suffered significant damage to its image over the past couple years because of unethical leadership. Darleen Druyun pleaded guilty and was sentenced in 2004 to nine months in prison for arranging a \$250,000 executive position with Boeing Corporation while serving as the second-ranking weapons buyer in the Air Force and handling billions in dollars of contracts with the company. She is the highest-ranking military official convicted of corruption since the late 1980s. Although there was no public announcement, most reasonable and prudent observers of military affairs know that General Wesley Clark was removed early from his position as the Supreme Allied Commander, Europe in 1999 for his lack of integrity and character issues (Boyer, 2003). Some senior Department of Defense military and civilian officials felt that during the Kosovo Campaign General Clark established a pattern of unprofessional behavior that conflicted strongly with his U.S. Department of Defense supervisors Secretary of Defense Cohen and General Hugh Shelton.

Integrity in the military culture is of paramount importance. The U.S. Army's primary document that guides all leaders and used in every training classroom and field

exercise is Field Manual 22-100. The manual, FM 22-100, is affectionately known as the Army's "Leadership Bible". In a section dedicated to Army values, integrity is listed as the sixth Army value forming an appropriate acronym, LDRSHIP. The Army values are:



According to FM 22-100 leaders of integrity have high moral standards, do what's right legally and morally and consistently act according to principles that are made known. Despite pressure to do otherwise the manual notes that honest leaders are always upright and truthful by committing to and consistently living the Army values listed above. Also, the manual advises its leaders to "mean and do what they say" as well as to inform the chain of command when they cannot accomplish a mission. It is expected that if false information is inadvertently passed on, it should be corrected immediately. Leaders of integrity do the right thing not because it is convenient, but because it is the right thing to do. In the Army manual the conduct or behavior exemplifying integrity has three parts:

- Separating what's right from wrong.
- Always acting according to what the leader knows to be right, even at personal cost.
- Articulating openly that a leader is acting on the leader's understanding of right versus wrong.

USMA – Cradle of military leadership

The United States Military Academy at West Point, which has produced some of the nations' greatest military and civilian leaders since the early Nineteenth Century, focuses as much energy on moral-ethical development as it does on academic, physical and military training. Memorization of key definitions, constructs and concepts is a means by which young cadets are introduced to their moral-ethical development. The Cadet Prayer is a simple example of one of those memorized items that is both a pillar and guiding principle for most cadets turned military officers. "Make us choose the harder right instead of the easier wrong and never to be content with a half truth when the whole can be won."

Moral-ethical development is integral to the academic program and woven into the fabric of the physical and military programs. Cadets adhere to the motto "Duty, Honor, and Country" and understand that "respect" and "integrity" are primary fundamental values. The cadet honor code sets the standard, "A cadet will not lie, cheat, steal or tolerate those who do." Additionally, the academy endeavors to inspire the cadets to become leaders of character and men and women of integrity who revere honesty, instill trust and pursue justice.

The words of a famous graduate of West Point, Bernard Rogers who served in World War II, as an Aide-de-Camp to Generals Mark Clark and Maxwell Taylor, then served as Supreme Allied Commander, Europe and U.S. Army Chief of Staff are carved in stone at the Academy, "The Academy instills those attributes on which the ethos of our profession is constructed: Professional competence, inviolate honor and absolute integrity" (USMA Honor Plaza Monument Inscription, 2002).

A working definition of integrity

“Last, but by no means least, courage—moral courage, the courage of one’s convictions, the courage to see things through. The world is in a constant conspiracy against the brave. It’s the age old struggle—the roar of the crowd on one side and the voice of your conscience on the other” (Author Unknown).

What is integrity?

The following historical example illustrates how one man put himself in harms way for something in which he strongly believed. Personal courage, whether physical, moral, or a combination of the two may be manifested in a variety of ways, both on and off the battlefield. On March 16, 1968 Warrant Officer (WO1) Hugh C. Thompson Junior and his two-man helicopter crew was on a reconnaissance mission over the village of My Lai, Republic of Vietnam. WO1 Thompson watched in horror as he observed an American soldier shoot an injured Vietnamese child. Minutes later, when he observed from the air American soldiers advancing on a number of civilians in a ditch, WO1 Thompson landed his helicopter and questioned a young officer about what was happening on the ground. Told that the ground action was none of his business, WO1 Thompson took off and continued to circle the area.

When it became apparent that the American soldiers were now firing on civilians, WO1 Thompson landed his helicopter between the soldiers and a group of ten villagers who were headed for a homemade bomb shelter. He ordered his gunner to train his weapon on the approaching American soldiers and to fire if necessary. Then he personally coaxed the civilians out of the shelter and airlifted them to safety. WO1 Thompson’s radio reports of what was happening were instrumental in bringing about the cease-fire order that saved the lives of more civilians. His willingness to place himself in

physical danger in order to do the morally right thing is a sterling example of personal courage (Field Manual 22-100 Leadership, 1999).

A peculiar word, *integrity* is used frequently, but its meaning is abstract enough that relatively few researchers have the exact same understanding of it (Rieke and Guastello, 1995). It is common for researchers to transpose *integrity*, *honesty* and *conscientiousness* without introduction or explanation (Becker, 1998). According to Rieke and Guastello (1995), integrity, as a construct, “remains vague and ill-defined after more than 50 years of research”. Researchers have broadened integrity so that it has become a composite of three constructs of the Big Five personality factors. In the ensuing confusion *conscientiousness* and *honesty* have become synonyms of integrity. Therefore, for the purposes of this paper the concept of integrity should be explicated before going any further.

From Latin *integritas* meaning wholeness, coherence, rightness or purity, integrity can be defined as consistency between word and action. According to the Oxford English Dictionary, “integrity” means soundness of moral principle; the character of uncorrupted virtue, especially in relation to truth and fairdealing; uprightness, honesty, sincerity.” Webster’s Third New International Dictionary lists “integrity” as an uncompromising adherence to a code of moral, artistic, or other values; utter sincerity, honesty and candor; avoidance of deception, expediency, artificiality or shallowness of any kind. The American Heritage Dictionary defines “integrity” as “strict personal honesty and independence”. The Internet Thesaurus yields the following synonyms for *integrity*: candor, forthrightness, goodness, honesty, honorableness, incorruptibility, principle, probity, purity, rectitude, righteousness, sincerity, straightforwardness,

uprightness, and virtue.

Behavioral integrity has been defined as “the perceived degree of congruence between the values expressed by words and those expressed through action” (Simons, 1999). Likewise, the perception of integrity depends upon a pattern of behavior that is consistent with adopted values. Taking this definition from the level of the individual and making it more applicable to strategic leadership, Badaracco and Ellsworth, (1989) defined integrity as the consistency of personal values and beliefs, daily behavior and organizational aims.

The Moral Component

“It is by no means enough that an officer of the navy should be a capable mariner. He should be as well a gentleman of liberal education, refined manners, punctilious courtesy, and the nicest sense of personal honour” (Richmond, 1927).

Some researchers will debate that integrity in its purest form simply links espoused values and behavior ignoring any moral component. If that were the case one could argue that Hitler and Stalin were men of integrity because of the congruence between their behavior and their espoused values. Worden (2003) purported that the main feature of integrity is an acted out commitment to principled behavior in the face of adversity or temptation at great cost to oneself. McFall (1987) and Solomon (1999) have both said that it is possible to behave dishonestly while acting with integrity. One of the examples McFall uses focuses on a woman who commits adultery. On the surface, it appears that the woman is not a person of integrity because, according to McFall, we may have made a false assumption that the woman was tempted and acted from the principle of wantonness. However, if she holds true and acts from the principle of *romantic love*

which most people believe is one of the greatest goods in life, and she is prepared to endure the consequences such as marital discord and social disapproval, then her act of infidelity is consistent with personal integrity.

Peikoff (1991) defined integrity from an objectivist perspective as loyalty, in action, to rational principles and values. Specifically it is the notion of being principled and “practicing what one preaches” regardless of any pressure.

There are other scholars who feel that integrity is more than simply connecting words to deeds. They believe that integrity also must involve the adherence to positive morals and ethics (Husted, 1998 and Simon, 1999). Becker (1998) believes that the principles of integrity must be “morally justifiable” and he includes independence, self-esteem, rationality, fairness purpose, justice, productivity and honesty. Badaracco and Ellsworth (1989) point out that honesty, respect, trust and compassion make up what they call “moral soundness that is inherent in integrity”. Consequently, for the purposes of this paper the definition of “integrity” also considers the ethics and morality of principles.

Bass (1990), Kirkpatrick and Locke (1991), Yukl and Van Fleet (1992) and Becker (1998) view integrity as *the* central trait of effective organizational leaders. Badarraco and Ellsworth (1989) argue that integrity is at the very heart of understanding the meaning of leadership. Many organizational theorists and practitioners believe leadership without integrity might, in the end, put the organization at serious risk (Morgan, 1993; Mowday, Porter and Steers, 1982; Parry 1998, Posner and Schmidt, 1984). Madsen (1990) sees character as a sub-form of integrity and as an ethical component of senior leadership. Posner and Schmidt (1984), Morgan (1989) and Atwater et al. (1991) conducted empirical studies and discovered that integrity to be a very

desirable trait of leaders. Parry and Proctor-Thompson (2002) claim there is a significant positive correlation between a leader's integrity and organizational effectiveness.

Another valuable aspect of integrity is that it is recognized as important to the vision component of strategic leadership (Westley and Mintzberg, 1989, p.21). Some researchers feel integrity is the glue or ingredient that allows a closer bond between word and deed, or in this case, *vision* and *strategic actions* (Srivastra and Cooperrider, 1988).

Integrity is a significant factor regarding trust in organizations. Trust is the belief that what the leader says actually predicts future actions (Simons, 1999). If the leader is trusted because (s)he behaves as predicted, then it makes influencing or leading others an easier task.

One should not underestimate the power of public and private expectations of our leaders. Former Vice Chairman of Wal-Mart, Tom Coughlin, who was once a protégé of Sam Walton, the Wal-Mart founder, pleaded guilty to fraud after he embezzled money, used expense vouchers to finance hunting trips and filed a false tax return. The official Wal-Mart spokesperson, Mona Williams, said the ordeal had been painful and embarrassing and that, "(s)omeone we expected to operate with the highest integrity let us down in a very public way." She continued her statement by adding, "Wal-Mart has high ethical standards and the way we handled this matter makes it clear that every associate will be held to these standards with no exception" (Associated Press as reported in International Herald Tribune, February 1, 2006 p.11.)

In organizations run by leaders of integrity there are advantages for the leader, follower and organization. Integrity is a necessary component, according to some experts, of the leadership calculus. "Without personal integrity, there can be no effective

leadership” (Hitt, 1990). Leader integrity is at the heart of ethically lead organizations and researchers have found those organizations have increased effectiveness, lower turnover levels and increased employee effort. Strengthened and reinforced organizational culture is, in part, responsible for these healthier indicators (Mowday, Porter and Steers, 1982). According to Parry and Proctor-Thomson (2002), these encouraging indicators to organizational effectiveness and in turn the leadership process are likely to have a significant impact on the leader’s ethical development. Parry was specific when he affirmed that “ethical values are indispensable to real leadership” (1998). Gottlieb and Sanzgiri (1996) claimed that leaders with integrity consistently promote open and honest communication especially in those situations involving decision-making. Parry and Proctor-Thomson (2002) stated that ethical conduct is no longer a “feel good” aspect of organizational climates and that it was becoming an essential component of success. Additionally, their research gave empirical support to what was previously only a theoretical proposition that the “presence of integrity will improve organizational effectiveness”. The mere “presence” of integrity indicates a passive nature to it. It may also serve the leader and the leadership process in an active mode such as mediation.

U.S. Government Code of Ethics

“...Darleen Druyun (Deputy Assistant Secretary of the Air Force for Acquisition) pleaded guilty in April, 2004 to negotiating a job with Boeing while overseeing billions of dollars of Boeing contracts from her position at the Pentagon... Why would Ms. Druyun and Boeing officials agree to such a cozy arrangement? Because they could” (Kidder, 2004).

The Department of Defense (DOD) published a code of ethics in 1993 for its employees. The code was contained within a DOD regulation and a violation of the

regulation could result in a fine, discharge, and/or confinement in a prison. The regulation comprises the code of ethics, related human goals and basic definitions that are the subjects of frequent training enjoyed by all soldiers, sailors, airmen, marines and Department of Defense Civilians. DOD employees who hold positions which include significant stewardship of government resources receive frequent and intense training and education. The following is a condensed form of the code which begins by stating,

Any person in Government service should:

- I. Put loyalty to the highest moral principles and to country above loyalty to persons, party, or Government department.
- II. Uphold the Constitution, laws and regulations of the United States and of all governments therein and never be a party to their evasion
- III. Give a full day's labor for a full day's pay; giving earnest effort and best thought to the performance of duties.
- IV. Seek to find and employ more efficient and economical ways of getting tasks accomplished.
- V. Never discriminate unfairly by dispensing special favors or privileges to anyone.
- VI. Make no private promises of any kind binding upon the duties of office.
- VII. Engage in no business with the Government, either directly or indirectly, which is inconsistent with the conscientious performance of governmental duties.
- VIII. Never use any information gained confidentially in the performance of duties as a means of making private profit.
- IX. Expose corruption whenever discovered
- X. Uphold these principles, ever conscious that public office is a public trust

Section 5 of the Joint Ethics Regulation contains definitions that make it easier for DOD employees to clearly understand the rules. Three of the key definitions are highlighted here:

“Ethics are standards by which one should act based on values. Values are core beliefs such as duty, honor, and integrity that motivate attitudes and actions. Ethical values relate to what is right and wrong and thus take precedence over non-ethical values when making ethical decisions”.

“Honesty is being truthful, straightforward and candid”.

“Integrity is being faithful to one’s convictions is part of integrity. Following principles, acting with honor, maintaining independent judgment and performing duties with impartiality help to maintain integrity and avoid conflicts of interest and hypocrisy”.

Had Ms. Druyun adhered to the spirit and letter of the regulation she would not have been sentenced to nine months in federal prison followed by seven months in a halfway house and home detention.

General Dayton was bound by this code and many other regulations promulgated by the Department of Defense. Whether Dayton’s strict adherence to ethical behavior was motivated by the threat of punishment or from a deep personal belief in doing the right thing, he still had to confront the naturally occurring tension that usually exists between the routine and fluctuating interests of an organization with the long term stable interests of a strategic vision. Integrity can act as a mediator in these cases.

Integrity as a Mediator

“Specifically, for integrity to hold there must be a commitment to principles of an identity conferring significance; principles which make us who we are as having character, rather than merely avoid temptation” (McFall, 1987 from Worden, 2003).

One final point that needs highlighting concerns the role integrity plays within a strategic organization. There is inherent tension within strategic leadership because the principles at the foundation of a strategic leadership vision can be at odds with pressing strategic interests, especially as these interests change amid the endurance of a vision (Worden, 2003). Strategic leadership relates an organization’s mission, vision, ideologies, identity, and view of the macro-environment system to its different core competencies. The strategic organization’s vision is often broad and abstract enough to be consistent with the values held by the larger society (Worden, 2003). Consequently, organizational plans focused on facilitating day-to-day operations may not be synchronized with an

expansive strategic vision. This broader thinking has the luxury of subscribing to loftier principles (Ireland and Hitt, 1999) and possibly ignoring the “bottom-line”, or other interests peculiar to organization. Worden suggests that the integrity of a strategic leader is an “ideal candidate” to act as a mediator or bridge between leadership vision and the strategic organization’s planning objectives.

Hitt (1990) suggests that integrity is much more than just linking “words to deeds”. He stated that integrity could be “a synthesizing form of thought that acts to preserve the whole by accepting polarities, appreciating differences, and finding connections that transcend and encompass all points of view.”

Worden (2003) suggests that integrity mediates the inherent tension between strategic leadership vision and strategic or organizational planning by filtering expedient plans, operations and activities so that they conform to the principles and tenets laid out in the strategic vision. In parallel integrity divests the leadership vision of those principles that are not essential to the organization’s survival. Major General Dayton played an important role mitigating the tension between Washington’s larger vision and the day-to-day operations of the Iraq Survey Group in Baghdad. Was it General Dayton’s integrity, another attribute or a combination that facilitated the easing of the tension?

Although more will be discussed later concerning his integrity, it will be clear from the interviews that as the commander or the leader of the Iraq Survey Group, General Dayton was a man of impeccable integrity. Despite pressure from more senior officials to modify the ISG mission to deviate from his charter to search for WMD towards counter-terrorism, Major General Dayton stayed true to the priorities dictated to him by his uniformed and civilian masters in the Pentagon. However, typical for him and

consistent with his strong belief in doing the right thing, Dayton found a compromise solution that mitigated the pressure from above while not compromising the ISG mission focused on finding the truth concerning Iraqi WMD.

PERSONALITY

“You do not lead by hitting people over the head—that’s assault, not leadership.”
Dwight David Eisenhower

Historically, there have been several obstacles that have complicated research relating personality to leadership. One of the most significant challenges linking the two constructs is the lack of structure in describing personality. This has led to an extensive assortment of traits that have been examined under various labels (Judge, Ilies, Bono & Gerhardt, 2002). The labeling predicament made it difficult to find reliable relationships between leadership and personality even when they existed (Hughes, Ginnett & Curphy, 1996). Another hindrance is that during early research on traits there was little empirically substantiated personality theory to guide the search for leadership traits (House and Aditya, 1997).

A decade after McDougall (1932) divided personality into five distinct factors: intellect, character, disposition, temperament and temper, Cattell (1945) established a complex taxonomy of personality that comprised sixteen primary factors and eight second-order components. Attempts by several researchers in the 1940’s, 1950’s and 1960’s failed to replicate Cattell’s research. However, they discovered that McDougall’s original work that included the five factors accounted well for the data (Fiske, 1949; Tupes, 1957; Tupes and Christal, 1961). Ironically, these five factors, in some shape or form, would become surprisingly similar to those generally accepted and used sixty years

later (Barrick and Mount, 1991).

In a military leadership-training center, leadership assessment ratings are based on accessible cues. Some of these cues are easily observable individual characteristics such as personality. Some researchers (Thomasa, Dickson, Bliese, 2001) have determined that personality comprises five primary factors: extraversion, agreeableness, conscientiousness, emotional stability and openness to experience. Specifically, extraversion and conscientiousness have surfaced as valid predictors of job performance while extraversion specifically emerged as predictors of performance for positions that involve a lot of social interaction (Barrick & Mount 1991; Salgado, 1997). Extraversion can be further subdivided into four components: sociability, gregariousness, assertiveness and activeness (McCrae and Costa, 1985; Norman, 1963).

In Thomasa's research on personality and leadership, extraversion is likely to be an important factor in leadership ratings because it is a characteristic that is more easily observed than more abstract constructs such as values. A typical rating period in the Army is somewhere between 120-365 days. During this timeframe it would be difficult for a rater to become familiar with the ratee's values. However, it is reasonable to expect a rater to be able to know if the ratee is sociable, gregarious, assertive and active.

Researchers found a direct positive link between extraversion and leadership ratings.

The Five-Factor Model, aka Norman's Big Five

Better known among researchers as the *Big Five*, this model can be used to describe the most relevant aspects of personality (Goldberg, 1990; Norman, 1963; Tupes

and Cristal, 1961). Norman is given credit for discovering the five-factor model as it is sometimes referred to as, “Norman’s Big Five”. There is ample evidence that suggests the Big Five are heritable and stable over time (Costa & McCrae, 1988; Digman, 1989).

A plethora of quality research has been conducted that provides “compelling evidence for the robustness of the five factor model” (Goldberg, 1981; Conley, 1985; Costa and McCrae, 1988; Lorr and Younis, 1973; McCrae 1989, McCrae and Costa 1985, 1987; Bond, Nakazato, and Shiraishi, 1975; Nollen, Law and Comrey, 1987; Digman and Inouye, 1986; Digman and Takemoto-Chock, 1981).

Others, such as Hogan (1986) claim that there are six dimensions of personality: sociability, ambition, adjustment, likeability, prudence and intelligence.

The Big Five model comprises the following factors: extraversion, emotional stability (neuroticism), openness to experience, conscientiousness and agreeableness. According to Judge et al. extraversion is the tendency to be sociable, assertive, active and to experience positive affects such as energy and zeal. Emotional stability represents the tendency to display positive emotional adjustment. Openness to experience is the inclination to be nonconforming, imaginative, creative, unconventional and autonomous.

Conscientiousness is associated with achievement and dependability. Agreeableness is the proclivity to be trusting, compliant, caring, gentle, courteous, flexible, good natured, cooperative, forgiving, soft-hearted and tolerant (Barrack and Mount, 1991 and Judge, 2002).

These five traits have been linked to numerous aspects of life including well-being, longevity and job performance. Barrick and Mount (1991) conducted the most often cited meta-analysis associated with job performance and personality. However,

prior to analyzing the relationship between personality and leadership or leadership factors, it is essential to briefly review some of the more relevant research associated with the individual personality factors.

EXTRAVERSION

Research on extraversion, also referred to as “surgency”, has a great deal of commonality in the sub-traits that define it. Sociability, gregariousness, assertiveness, talkativeness are behavior or activities that are usually associated with extraversion (Botwin and Bass, 1989; Digman and Takemoto-Chock, 1981; Haskel, 1974; Hogan, 1983; Howarth, 1976; John, 1989; Krug and Johns 1986; McCrae and Costa, 1985; Noller et al., 1987; Norman, 1963; Smith, 1967). Extraversion is also the tendency to experience the emotional impact of positive “affects” such as energy and zeal.

Casual observers intuit that a good leader should be an extravert in order to succeed. Early research conducted prior to 1947 reviewing the relationship between extraversion and leadership revealed inconsistent results. In twelve studies conducted at the time extraversion was positively linked to leadership in five studies and negatively related in three studies. In the remaining four studies no relationship was determined.

Costa and McCrae (1988) found that social leadership is strongly related to extraversion. Watson and Clark (1997) claimed that extraversion was positively related to leader emergence in groups. Perceptions, as have been discussed in the section on the relationship between intelligence and leadership, also can play a significant role with respect to linking extraversion and leadership. Hogan (1994) indicated that extraversion is related to being perceived as leader-like. Liveliness, activeness and energy are traits

normally associated with individuals who exhibit outgoing or extraverted behavior. In another study researchers discovered that it is more likely for leaders than non-leaders to have a “high level of energy and stamina and to be generally active, lively and often restless (Kirkpatrick and Locke, 1991).

Gough (1988) found that the adjectives “active, assertive, energetic” were used to describe individuals who emerged as leaders in leaderless groups. “Silent or withdrawn” were adjectives not used and are not characteristics normally linked to extraverts or leaders. Later, the same researcher discovered that both sociability and dominance which help make up extraversion were associated with self and peer ratings of leadership (Gough, 1990).

AGREEABLENESS

Agreeableness, or as it is sometimes called likeability, (Conley, 1985; Hakel, 1974; Hogan, 1983; McCrae and Costa, 1985; Noller et al., 1987; Norman, 1963) is another attribute of personality. Over fifty years ago researchers labeled it friendliness (Guilford and Zimmerman, 1949) and social conformity (Fiske, 1949).

According to Judge et al. (2002), the relationship between agreeableness and leadership is ambiguous. They found that agreeableness was the least relevant of the Big Five traits. However, agreeableness was related to leadership in those situations where effectiveness was a criterion being measured. In studies conducted in military and business settings, Graziano and Eisenberg (1996) discovered that agreeable individuals are more likely to be passive and compliant and that it makes sense that they would be

less likely to emerge as leaders. It is in these disciplines the researchers found that the nature of agreeable individuals is to conform to other's wishes.

Additionally, Goldberg (1990) found that agreeable individuals are likely to be modest while Bass (1990) discovered that leaders tend not to be excessively modest. Confusing the picture are studies conducted by Bass (1990) Zaccaro (1991) in which they found interpersonal sensitivity was related to leadership. So, if tact and sensitivity are primary descriptors of an agreeable personality, it would then stand to reason that leaders should demonstrate agreeable behavior. Some researchers describe affiliation as an indicator of agreeableness (Piedmont, McCrae and Costa, (1991). In psychological terms "affiliation" is the need to form attachments to other people for support, guidance and protection. Yukl (1980) discovered that need for affiliation was negatively related to leadership. Therefore, this would suggest that agreeableness could be negatively related to leadership (Judge et al., 2002).

CONSCIENTIOUSNESS

"Task competence results in attempts to lead that are more likely to result in success for the leader, effectiveness for the group and reinforcement of the tendencies" (Bass, 1990 p.109).

Sometimes referred to as will to achieve or will (Digman, 1989; Smith, 1967; Wiggins, Blackburn and Hackman, 1969), Conscientiousness or conscience (Botwin and Buss, 1989; Haskel, 1974; Norman, 1963; Noller et al., 1987; McCrae and Costa, 1985) suggests individuals as hardworking, achievement-oriented, persevering and dedicated. Conscientious individuals are dependable, responsible, organized, careful and thorough.

Not all researchers agree that the conscientiousness dimension includes responsibility/dependability (Hogan, 1986) as well as the volitional aspects of

hardworking, persistent and achievement-oriented (Digman and Takemoto-Chock, 1981) and McCrae and Costa, 1985, 1987, 1989). However, there is enough agreement that for the purposes of this paper, all traits mentioned above as related to conscientiousness will be included when analyzing the conscientiousness dimension as it is related to leadership and more specifically to the leadership behavior of Major General Keith Dayton .

Results of an important study that investigated the relation of the “Big Five” personality dimensions to three job performance criteria for five occupational groups indicate that conscientiousness was found to be a valid predictor for all groups and all criterion types (Barrick and Mount, 1991). If we accept this result that conscientiousness is linked to job performance, it suggests then that conscientiousness will be related to leaders’ effectiveness.

Further research conducted by Kirkpatrick and Locke (1991) related leadership to initiative and persistence. They found that leaders must follow through with programs and be “tirelessly persistent”. Goldberg (1990) discovered that because conscientious individuals are more tenacious and persistent, it is expected that they will be more effective leaders.

Barrick and Mount (1991) claimed that individuals who demonstrate strong sense of purpose, obligation and persistence generally perform better than those who do not behave in the same way. McHenry, Hough Toquam and Ashworth (1990) found further proof that two of conscientiousness’s sub-components, achievement-orientation and dependability, are valid predictors of job performance. Achievement “taps traits” such as organization, persistence while hardworking and dependability focus on careful, thorough and responsible traits.

In a quantitative study conducted by Judge et al. (2002) conscientiousness and openness to experience were the strongest and most consistent correlates of leadership, after extraversion. Conscientiousness was the strongest predictor of leadership in the multivariate analysis in two of three regressions.

EMOTIONAL STABILITY

“It appears that there is convincing evidence for the inclusion of self-esteem (low neuroticism) as an important trait of both superior and subordinate in analyzing leadership effectiveness” (Hill and Ritchie, 1977)

Emotional Stability is often called stability, emotionality and neuroticism (Borgatta, 1964; Lorr and Manning, 1978; John, 1989). Neuroticism is the tendency to display poor emotional adjustment and such behavioral traits associated with anxiety, low self-confidence, insecurity, anger, worry, depression, embarrassment and hostility.

In a popular study, Barrick and Mount (1991) investigated the relation of the “Big Five” personality dimensions to job performance and occupational groups. At the outset of the research there was an expectation that the validity of emotional stability would generalize across the occupations and criteria studied. There was also an expectation that individuals displaying negative traits associated with emotional stability (neuroticism) such as nervousness, self-pity, temperamentalness and worry would tend to be less successful than more emotionally balanced employees since these characteristics tend to inhibit rather than promote the successful execution of their duties.

Barrick and Mount discovered that most of the correlations for emotional stability were relatively low. Highly unstable individuals who are dysfunctional are not likely to be in the labor force. Additionally, they found out that there may not be a linear

relationship between emotional stability and job performance beyond what the researchers have termed the “critically unstable” range. Specifically, this means as long as a leader has enough “emotional stability”, the predictive value of any differences is minimized (Barrick and Mount, 1991).

Based on a small number of studies used in their meta-analysis, Lord, De Vader and Alliger (1986) found a corrected correlation of .24 between measures of adjustment and leadership. Hill and Ritchie (1977) found that self-esteem is predictive of leadership while Hogan et al. (1994) discovered that neurotic individuals are less likely to be perceived as leaders. Bass (1990) discovered that nearly all studies on the relationship of self-confidence to leadership were the same in the “positive direction of their findings”.

OPENNESS TO EXPERIENCE

“Of the Big Five traits, Openness to Experience is the most controversial and least understood.” (Judge et al., 2002)

One of the reasons “openness to experience”, as a personality category, is difficult to understand for researchers is that it is not simple to measure, nor is it easy to properly define. Specifically, openness to experience has been called culture (Hakel, 1974; Norman, 1963). Openness to experience reflects being curious, broad-minded, cultured, original and imaginative (Barrick and Mount, 1991). Frequently, others have labeled it intellect or intelligence (Borgatta, 1964; Digman and Takemoto-Chock, 1981; Hogan, 1983; John, 1989; Peabody and Goldberg, 1989). Digman (1990) has grouped these all together for ease of study. However, many researchers tend to break out cognitive ability or intelligence separately because of its significance. For the purposes of this research,

intelligence will be treated separately from the traditional personality factors to facilitate a more in depth analysis, as many other researchers have done.

Several things are clear about openness to experience. Originality is a trait of openness of experience that Bass (1990) listed as one of the best correlates of leadership. Creativity and a related trait, “divergent thinking” are important attributes related to the efficacy of leaders (Feist, 1998; McCrae and Costa, 1997).

Yukl, (1998) and Stogdill, (1974) also list creativity as an important skill of leaders. Research conducted by Sosik, Kahai and Avolio, (1998) suggests that creativity is linked to effective leadership and that open individuals are more likely to not only emerge as leaders, but also as effective leaders.

Some other issues concerning openness to experience are not quite as clear. Barrack and Mount, (1991) in their study discovered that openness to experience was a valid predictor of training proficiency but not job proficiency, a construct more clearly linked to leadership. The researchers believe a possible reason for these findings is that individuals who score high in the areas of curiosity, broad-mindedness and intelligence are more likely to have positive attitudes toward learning experiences in general.

EXECUTIVE THEORIES

Upper Echelon and Strategic Leadership Theories and Models

Hambrick and Mason (1984) in their upper echelon theory which matured into the strategic leadership theory (Finkelstein & Hambrick, 1996) concluded that the specific knowledge, experiences, values and preferences affect the strategic choices they make because of their assessment of their impact on the environment. Later, strategic leadership theory studied the psychological framework of the leader and how this

influences the information processing and strategic decision-making. Critics of the theories raise more questions than answers and even dispute the validity of the strategic leadership theory as a theory (Boal & Hooijberg, 2000). Criticism of the two theories highlights the view that they predict phenomena rather than explain them and that simply describe consequences, as opposed to providing useful prescriptions to leaders.

There is sufficient debate over strategic leadership theory to preclude its expansion in this dissertation. There is disagreement concerning what are the relevant dependent variables that identify the differences between the similar strategic leadership theory and the transformational leadership theory. However, in the heat of the debate one useful definition materialized for organizational performance that will be used later.

Hambrick (1989) defined performance in terms of effectiveness, efficiency and stakeholder's needs.

Multilevel Leadership Model

The first leadership paradigm to be dissected will be a simplified version of J.G. Hunt's extended multilevel leadership model. Hunt has based his model on Jaques' theory of stratified systems and incorporates organizational and environmental factors across three different levels: strategic, organizational and direct. The model identifies critical tasks and individual capabilities as well as organizational and environmental factors required at each level of leadership (Hunt, J.G., 1991). Another model that provides context and facilitates understanding of the trait theory via the case study is the transformational leadership model.

Extended Multilevel Leadership Model

Hunt's extended multilevel leadership model is an appropriate model to use as a

framework to examine military leadership. His model is appropriate for the purposes of this paper because of its emphasis on the role of strategic leaders rather than on the relationships between leaders and supervisors. The model recognizes that there are critical tasks, individual capabilities, external environmental factors and sub cultural climate factors that are particular to each level.

Strategic or systems level leaders function at the very top of large organizations. Hunt describes the leadership circumstances at this level as volatile, complex and ambiguous. These senior leaders interface across different societal cultures in the external environment while coordinating organizational systems across different cultures. Their boundaries are practically invisible because their business takes them to the highest levels populated by the most senior national and international political officials. Normally, four-star flag officers and the most senior civilian government leaders carry out strategic military business. Usually they have over thirty years experience and command significant numbers of troops or have positions of complex responsibility. In the case of Rwanda and Bosnia, for example, General Joulwan, then Commander in Chief United States European Command, was responsible for over 83 countries in Europe and Africa and coordinated with the National Security Advisor in the White House, Secretary of Defense, Chairman of the Joint Chiefs and/or the Secretary General of NATO on nearly a daily basis.

Systems level external factors

Leaders must be acutely aware of the external environment which is populated with enormously complex multinational issues, as well as broad and diverse societal/cultural values. In the military and the government they are the senior ranking

General Officers and the most senior statesmen. In order to be effective these “gray beards” have to be comfortable interfacing across different societal cultures, coordinating organizational systems and interacting with high-level government officials and politicians.

Systems level critical tasks

Systems leaders create visions, shape culture, and manage relationships with other services. Additionally, systems leaders are involved in boundary spanning, direction setting and operational management. General George Joulwan, Supreme Allied Commander, Europe established important relationships and balanced tender relations with the Permanent Representatives, National Military Staff at NATO with senior country leaders such as Presidents, Prime Ministers and Ministers of Defense. He also was one of the principal architects of the EUCOM vision published annually while he was Commander-in-Chief, U.S. European Command.

Major General Keith Dayton, then newly appointed Director of the Iraq Survey Group, on 30 May 2003 established his critical tasks and priorities in his first Pentagon press conference. Dayton stated his priority was the search for and elimination of Weapons of Mass Destruction. Additionally the ISG was to collect and exploit documents and media related to terrorism, war crimes, Prisoner of War (POW) and Missing in Action (MIA) issues and other things related to the former Iraqi regime. Also the ISG would interrogate and debrief individuals, both hostile and friendly, and would exploit captured materiel. The ISG was directly subordinate to the Commander of Central Command, a four-star Army General. However, because of national interest the ISG directly communicated often to the very highest levels of the United States

Government (USG).

Systems level individual capabilities

Successful systems leaders must have knowledge of national and international constituencies. They must know how to build consensus and operate from a systems perspective. These senior leaders who command large organizations should have a capacity for creating an independent perspective of the strategic environment.

Additionally, they should be able to think using abstract conceptual models. Other research posits that senior leaders should be able to successfully conduct cross-serve relations, have well-developed problem solving skills, and the ability to network (Jacques, 1986; Jacobs, 1990; Kegan, 1982; McGee, 1999; Markessini, 1994). Still others have said a systems leader must be a facilitator, mentor, innovator, broker, producer, director, coordinator and monitor (Quinn, 1988).

Finally, according to two leadership experts, systems leaders must have an absorptive capacity, adaptive capacity, self-awareness and managerial wisdom (Steele and Walters, 2001).

In order to provide more balance to this research effort it is useful to briefly highlight other leadership models since they may be applicable to General Dayton's style of leadership and management.

Transformational Leadership Model

Clarity is also a significant construct in leadership and communications. "Be clear and all the rest will follow"(Napoleon, Military Maxims in Sir Richmond).

Civil War leader Stonewall Jackson's military orders for battle were in every essential respect a model for other leaders to emulate. His orders were very concise but not abrupt. They were exceedingly clear. Jackson's orders left no doubt whatsoever as to

the intentions of the General-in-Chief. Jackson may have met the criteria for a modern-day transformational leader.

For many researchers transformational leadership would be an appropriate model to mention in any body of work involving the trait theory and leadership since transformational leadership centers itself on a special characteristic or trait: charisma. Even though Downton (1973) was the first to name the term transformational leadership in a book entitled *Rebel Leadership*, it was a book titled, *Leadership*, by James MacGregor Burns (1978) that was responsible for the term's explosive popularity. According to Northouse (2004) at about the same time these studies were made available, House (1976) published his charismatic leadership theory. Afterwards his charismatic leadership theory became more and more popular (Conger, 1999) and was "often described in ways that make it similar to, if not synonymous with, transformational leadership". Burns attempted to link the roles of leadership and followership through a process in which a leader helps followers reach their fullest potential by engaging them and creating a special connection with them that increases the motivation in both leaders and followers. However, in order to understand transformational leadership, one must first have a firm grasp of another concept called, transactional leadership. The original formulation of the theory included two types of transactional behavior: contingent reward and passive management by exception. To obtain rewards and to influence motivation, contingent reward behavior includes clarification of the work required among other things (Yukl, G. 2002). The concept of clarity presents itself often in the discussion of executive leadership and is an important construct for General Dayton's leadership style.

The original formulation of the transformational leadership theory included three types of transformational behavior: idealized influence, intellectual stimulation, and individualized consideration (Bass, 1985). Idealized influence is behavior that arouses strong follower emotions and identification with the leader. Intellectual stimulation is behavior that increases follower awareness of problems and influences followers to view problems from a new perspective. Individualized consideration includes providing support, encouragement, and coaching to followers. Later, during theory revision another behavior was added- “inspirational motivation” which includes communicating an appealing vision, using symbols to focus subordinate effort and modeling appropriate behavior (Bass and Avolio, 1992). See Figure 5.

A Model of Transformational Leadership

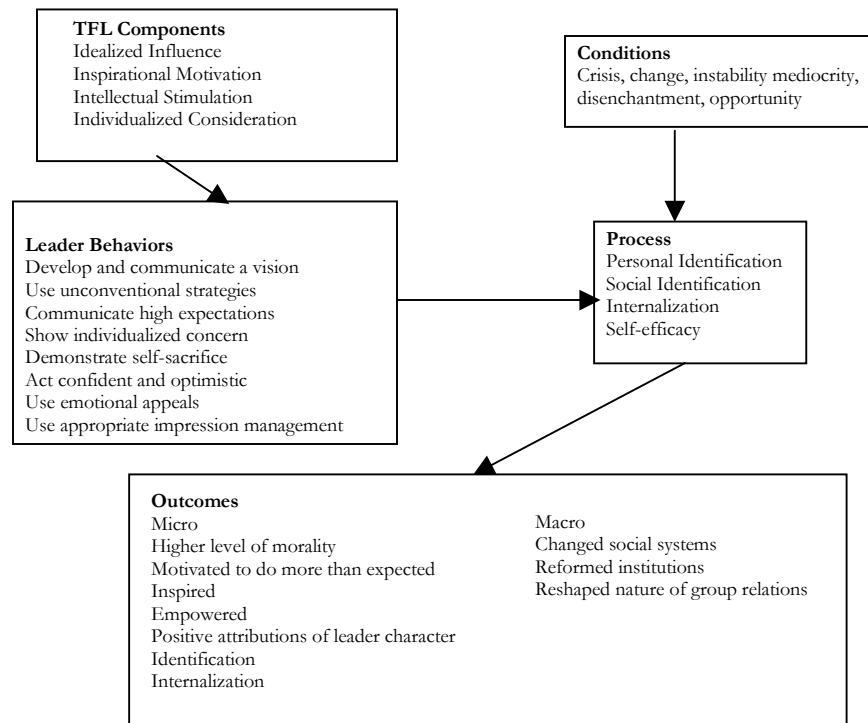


FIGURE 5

Centuries ago a distinguished but relatively unknown military thinker felt that there were “required attributes” of a strategic leader. “A man whose sole quality is courage is not capable of commanding an army. The qualities needed for this ‘honour’ are far above courage, which is often superficial and one-sided, its views, and never penetrates down to its foundations”. He also said that a strategic leader “requires genius talents, good sense, an active prudence, prompt and just intuition, and coolness which enable the mind to remain unaffected even when the danger is greatest. All these qualities must be coupled with profound theoretical knowledge and wide experience;

with which last two conditions by themselves a man may well be a very good fellow, but he never will make a general” (Turpin de Crisse, c. 1821).

Summary

Chapter two provides appropriate literature that frames the analytical discussion in chapter four. A trait refers to a variety of individual attributes including aspects of personality, temperament, needs, motives and values.

A qualitative review of trait leadership theory includes a brief review of the Great Man theory which holds that a decision by a great person could alter the course of history. Historical perspectives are raised that provide useful examples. Dwight Eisenhower, a talented leader from many perspectives, enjoyed a meteoric rise to fame because he possessed the necessary attributes. Or did he owe his success to external factors surrounding his situation; that he was the right person in the right place at the right time? Robert Stevens, CEO of Lockheed Martin, the world’s largest defense contractor, presents a contemporary business leadership model that deserves development.

Specifically, this chapter presents the results of numerous studies that have investigated the trait leadership theory over the past few decades. The renewed interest in the trait theory has refocused and refined the trait theory and eradicated much of the ambiguity that previously existed. Providing positive characteristics and negative criticism helps to present a more balanced view of the trait leadership theory.

Subsequently, I compare briefly strategic military leaders and executive non military leaders. Unfortunately, the comparison is specious because there is not enough substantive data on strategic leadership theory.

The heart of this chapter is a review of the more important appropriate literature on intelligence, integrity and personality as it relates to leadership. This literature provides many of the important bridges to the evidence presented in chapter four.

Finally, this chapter concludes by briefly reviewing appropriate leadership models such as Hunt's extended multilevel leadership and the transformational leadership models that are linked to the trait leadership theory.

CHAPTER THREE – METHODOLOGY

“The qualitative researcher emphasizes episodes of nuance, the sequentiality of happenings in context, the wholeness of the individual” (Denzin & Lincoln, 1994).

In this chapter I will critique the qualitative approach and then justify it as the best method for this investigation. Also, I will discuss the relevant details of this qualitative investigation that focused on how traits became effective leadership behavior by identifying the nuances and “sequentiality” of particular events, as well as the multi-faceted dimensions or “wholeness” of General Dayton.

By its nature qualitative research can be subjective. And often times the trends investigated by qualitative researchers consume a great deal of time and prolong an already lengthy process. “Its contributions to disciplined science are slow and tendentious...The ethical risks are substantial...Many of the findings are esoteric...And the cost in time and money is high, very high.” It is worth noting that all researchers use qualitative methods whether they choose to account for them or not. “There are times when all researchers are going to be interpretive, holistic, naturalistic, and uninterested in cause, and then, by definition, they will be qualitative inquirers” (Stake, 1995, p.45-6).

Qualitative case study investigations are not sampling research. My primary objective is to understand this particular case study. The purpose is not to comprehend other case studies. As stated earlier, one of the hopes of this dissertation is that it will contribute meaningfully to the body of work dedicated towards improving our knowledge of executive military leadership.

Conducting a case study for this dissertation was the best method available for two reasons. According to Stake (1995), we study a case when it is of very special interest and when we are interested in the linkage between the activity of the particularity of the case and its relationship within important contextual circumstances. This dissertation seeks to not only draw out the specific behavior of an effective strategic military leader, but also the interplay between Dayton, as the main character, and his internal and external environments. Additionally, in this research I did not seek out a relationship between a small number of variables as one would find in a quantitative approach. It was important to find a method focused on determining unanticipated as well as expected relationships.

Security restrictions

The Iraq Survey Group was a military intelligence organization and many of its roles and functions were extremely sensitive in terms of protecting United States national security. Most of the people assigned to the ISG were intelligence professionals from across the interagency and all of the U.S. citizens in the ISG possessed the highest possible government security clearances. Some people in the Iraq Survey Group regularly used aliases as a “cover” or means of protecting their identity. For military operational security reasons the material reported and discussed in this dissertation has been restricted to the unclassified level. This limitation manifests itself in a lack of detail that is evident in several subsections of the analysis. Additionally, where information may appear lacking or disjointed, I have tried to introduce smooth transitions to minimize the rough edges.

General data collection

All data collected was unclassified. General Dayton provided ISG background information principally through his May 30, 2003 press opportunity hosted in the Pentagon by Dr. Steve Cambone, Undersecretary of Defense for Intelligence.

In order to encourage candor and guarantee a free flow of the questions and answers, the researcher conducted semi-structured interviews. To preclude meandering conversations a basic set of questions were used to frame interviews. Most of the questions were open-ended and opinion-seeking interrogatives that also encouraged factual as well as anecdotal support. The core list used in the interviews follows:

Do you consider Major General Dayton a strategic leader? Why? Why not?

To what degree was MG Dayton intelligent as he exercised his strategic leadership of the Iraq Survey Group in 2003? Intelligence or intellectual ability in this case refers to a leader's verbal ability, perceptual ability and ability to reason.

What makes you think that way? Examples?

Why (or why not) do you think he was a military intellectual? Examples?

How did he process, synthesize and assimilate new information? Examples?

How did he deal with change? Examples?

Did his intelligence contribute (or not) to his effectiveness as a strategic leader?

Did his intellectual ability influence his superiors, peers or subordinates? If so, how?

Had he not demonstrated strong intellectual ability, how would it have impacted the search for WMD from the Iraq Survey Group?

To what degree do you believe MG Dayton to have possessed strong interpersonal skills as he exercised strategic military leadership over the ISG? Why?

If so, had he not possessed such strong interpersonal skills, would he have been as successful?

How did he communicate (send and receive) strategic information to his superiors, peers-lateral organizations and to subordinates? Examples?

Was MG Dayton courteous, diplomatic, friendly, and outgoing?

During the search for WMD how important was it to MG Dayton to make others feel good about being around him?

What was his relationship with the commanders of higher headquarters and with the senior military and civilian leadership in Washington?

How effective/influential do you think his sociability was as he exercised strategic military leadership over the Iraq Survey Group? Examples?

Absent MG Dayton's interpersonal attributes, what would have been the impact on the search for WMD from the Iraq Survey Group?

To what degree did integrity play a key role in MG Dayton's strategic military leadership style?

What were his core values and principles? Examples?

Was he an ethical leader? Please give specific examples?

Was he loyal and dependable?

Did he take responsibility for his actions? Was he deceptive?

When MG Dayton testified before Congress about the progress or lack thereof in the search for WMD, was MG Dayton's behavior consistent with his strategic leadership behavior in Baghdad? Example?

Had integrity not played the role that it did in his leadership style, what impact would it have had on the search for WMD from the Iraq Survey Group?

OBSERVATION PROTOCOL

The priority questions were the ones that were designed to isolate the variables to allow the researcher to make some judgments about Major General Dayton's effectiveness as a strategic leader. These questions were the ones crafted to cause the interviewee to think and respond to a hypothetical situation based on what they already

know about Dayton. For example, the purpose of the question, “Had integrity not played the role that it did in his leadership style, what impact would it have had on the research for WMD from the Iraq Survey Group” was to answer the researcher’s self-imposed questions concerning how distinctive (or not) was General Dayton. Could a person without integrity or less integrity placed in this leadership role have been as effective leading the ISG?

In the case of “intelligence”, after establishing the opinion that he was or was not intelligent, the question was, “(H)ad he not demonstrated strong intellectual ability, how would it have impacted the search for WMD from the Iraq Survey Group?” In the researcher’s mind, the key question was, “Could a leader of average intellect have performed as well leading the Iraq Survey Group.”

The novelty of recording “oral history” or just presenting an opportunity to express themselves more than they normally would seemed in several cases and opportunity to ensure that their own contributions to the ISG not to be lost to the dust bin of history. In a few cases the interviews provided an almost cathartic release of affect and emotion following a significantly intense experience. Despite repeated efforts on researcher’s part to keep two of the interviewees on track, they became unfocused and tended to wander with their comments.

Based on the answer given, the researcher then asked for supporting evidence either in terms of basic facts, common knowledge or a personal anecdote. For example interviewee Pike believed Dayton was an intelligent officer to a great degree because he was able to process a great deal of complex data, intelligence reports, then synthesize and distribute his analysis before a group of approximately thirty professional analysts could

process the same information. On the other hand interviewees Eric and Gordon felt Dayton was brilliant because he read, understood and spoke Russian. Fluency in a foreign language may be an indicator, but hardly qualifies someone as highly intelligent. The fact that he attended Cambridge University and was a member of the Council on Foreign Relations was enough to convince interviewee Amundsen that Keith Dayton was brilliant.

LIMITATIONS OF THE STUDY

Having reviewed the challenges of qualitative inquiry, it would be useful to draw attention to the significant limitations of this study. Earlier it was established that strategic military leadership is a growth area that needs a great deal of attention. One of the downsides of this phenomenon is that it forces researchers to rely on general leadership studies and models and not on sophisticated strategic leadership models that differentiate the levels of leadership. As the field of strategic military leadership matures, its literature will feature its own theories, models and serious studies.

Although there may be volumes upon volumes of literature on general leadership topics, there is not a great deal of clarity or agreement on some of the terms. This is evidenced by the carelessness of some researchers who classify intelligence as a personality attribute and others who do not. Some freely use cognitive capacity as a synonym for intelligence and other who consider them very differently. A few researchers exchange personality adjectives from one category to the next which created challenges as I tried to clarify specific behavior leading to success.

Additionally, the ambiguity created by abstract constructs such as “conscientiousness, integrity, and openness” allowed interviewees to give responses

within their own framework. Standardizing, comparing or contrasting ten different answers became one of the dissertation's most challenging exercises.

Writing an unclassified dissertation based on a case study whose participants principally worked with very sensitive material in a highly classified environment was the next greatest challenge. Complicating this further were the hurdles presented by conducting four interviews in locations where electronic devices, such as a tape or digital recorder were not permitted. Interviewee work schedules and their high profile duties forced the interviews to be conducted in these secure locations. Taking interview notes by hand created more difficulties. Speed and accuracy of manual note taking became mutually exclusive terms, especially in the case where interviewees had a limited amount of time available.

One item over which I had no control that marginally affected the quality of the interviews is "interviewee memory" or selective memory. This case study relies heavily on the interviewee's ability to recall detailed anecdotal evidence concerning General Dayton's specific behavior as the Director of the Iraq Survey Group. Ironically, as the case study suggests, the ability to accurately retain a lot of information may be an indicator of intelligence. All ten individuals were interviewed within approximately twelve months after having returned from Iraq. Five of the interviewees seemed very comfortable answering the questions in sufficient detail. Three were not as comfortable, but nonetheless they were able to contribute meaningfully to the process. Two interviewees thought that they had forgotten more than they remembered, but eventually produced quality information after some prompting. And as it was raised earlier, one

person declined to participate in this project because he felt his memory of ISG events had been essentially erased by time and by many more significant events.

Another shortcoming of this study is the number of people interviewed. Although ideally more interviews might equate to more evidence, in this case the answers were relatively homogenous. More interviews may have permitted greater depth in those sections where the evidence is not as convincing. A great deal of time and effort was placed selecting and recruiting appropriate people who were close enough to General Dayton to provide deeper perceptions and broader perspectives. In the case of eight people my process for selection and recruitment was validated by the depth and firsthand knowledge of the answers received. In the case of two individuals some of the anecdotes and opinions they offer as evidence of Dayton's behavior actually were hearsay.

To ask or not to ask that “leading question”

One drawback to the interviews that ultimately may have served the process well was my adherence to the principle of not asking “leading questions”.

I had to strike a balance between asking open ended questions and asking questions by suggesting words to the interviewers for their use. The risk of asking leading questions of ISG interviewees was receiving “parroted” answers. For example, if I had asked, ‘To what degree could General Dayton handle large loads of complicated data?’ instead of ‘What made General Dayton intelligent?’, the risk was receiving an answer comprising the same “construct” which was ‘an intelligent leader must be able to handle large loads of information.’ To the latter question it must already have been established that the interviewee believed General Dayton was intelligent by asking a previous

question, “To what degree do you think General Dayton was intelligent?” I believed it would be useful to find out what the interviewee used for intelligence criteria.

This slightly structured “ambiguous” open ended technique encouraged different perspectives and personal definitions which paradoxically is not inconsistent or surprising since all researchers do not agree on clear distinctions of meanings or categories of information. Inviting open honest feedback without suggesting direct key words and phrases used in theoretical research was important to the impartiality of the interview and a procedure to which I strictly adhered.

Interview mechanics

In spite of the fact that there were over one thousand four hundred individuals initially assigned to the Iraq Survey Group only a few people had close, continuing and frequent access to the Director, General Dayton. In Baghdad at the daily briefings in the Iraq Survey Group Operations Center Headquarters almost one hundred people participated. However, generally this group comprised the team leaders, functional team chiefs and higher level staff personnel who either briefed the director daily or needed the information for reporting purposes. Not all of these people had direct access to Major General Dayton.

On one hand it would be logistically/physically unmanageable for the general to meet with all of his key leaders and subordinate leaders. He relied heavily on a typical military chain of command and chain of concern for the daily operations of the Iraq Survey Group. On the other hand Major General Dayton is a calm, private person who, in public, would be seen in the company of only a handful of individuals. This

observation was made purely from the amount of time he spends with those select individuals.

His circle of “trust” may be viewed as a sphere comprising concentric circles with Dayton at the center and those with “personal” access directly connected to him at the succeeding outer rings. There were a couple of individuals who enjoyed more direct access than all others. Since the initial quality of life conditions were spartan, almost everyone assigned to the ISG had daily direct access and some had “more direct access” than others. As the conditions improved and the ISG was allowed to expand to a renovated former-regime palace, direct access to General Dayton was limited to those who had offices nearest him. For geographic reasons only one senior staff member had indirect access to the director. This individual lived and worked in another Middle Eastern country. However, this individual enjoyed telephonic and /or video conference access whenever required.

Who was interviewed?

I personally contacted and approached ten of the thirteen individuals who were considered by the researcher to have direct access. Direct access in this case meant the individual concerned had to have both a “clearance” and a “need for contact”. The clearance is simply having the rank or position that reported directly to the General and could be easily demonstrated and located directly under the General on a wiring diagram. The other condition is the “need for contact”. Specific individuals in the ISG had the rank but did not have the need to expand. After exhaustive attempts to reach two individuals who were senior intelligence officers from foreign countries, I focused on the remaining ten. Nine of the eleven immediately agreed to be interviewed and one declined. Since,

by the previously established definition, I had direct access to General Dayton, I thought it would be important to include my answers to the core questions. In compliance with the Institutional Review Board requirements to protect the identities of all interviewees, I assigned myself a pseudonym and inserted my comments in the analysis where appropriate. The person who declined claimed that he was extremely busy with his new duties focused on stabilizing the military situation in Iraq and did not think his memory would serve the project well. The other nine interviewees agreed without reservation to anonymity. However, one individual expressed a preference that I use his/her real name. In order to protect all others it was necessary to give every individual a pseudonym. Ultimately, I tried to conduct straightforward and meaningful interviews whose objective was to set a framework and maximize the opportunities for interviewees to provide opinions and supporting anecdotes to specific questions about Major General Dayton's personality, integrity and intelligence.

Biographical sketches of interviewees

The ten individuals selected and interviewed for this dissertation were senior and mid-level military officers, as well as senior civilian executives. Five of them had previously worked for MG Dayton and five had not. Only one of the interviewees never had an international assignment prior to deploying to Baghdad. Most interviewees had more than two international assignments and one had spent his entire operational career abroad. The following is general and pertinent biographical information about the interviewees:

Two of the officers, Marine Corps reservists, occupied entirely different professional positions. One is a defense contractor and the other is a senior executive

with the Department of Energy. After returning to the United States, the defense contractor was promoted to the rank of Colonel in the reserves. Shortly, after redeploying from Iraq, the other reservist was promoted and assigned to a position in the West Wing of the White House where he oversaw a significant homeland defense portfolio.

One of the individuals is a senior civilian intelligence officer whose rank at the time of the ISG deployment was equivalent to a General Officer. He spent a large portion of his career in sensitive intelligence operations.

Three senior military officers previously served as U.S. Defense Attaches. In this capacity they were direct representatives of the Secretary of Defense, as the senior U.S. military officers in their respective countries. Additionally, they were military advisors to the U.S. Ambassador and as such occupied a permanent seat on the Ambassador's country team. One individual was a United States Air Force pilot who had graduated from the United States Air Force Academy. Shortly after he returned from Iraq he retired from the military but was hired by the Defense Intelligence Agency to fill a very senior executive civilian position. The other two senior Army officers were combat arms officers from Field Artillery and Aviation. Both individuals received Master's Degrees from reputable institutions prior to deploying as attaches and both were graduates of the U.S. Army War College, the Army's most prestigious strategic institution of higher learning. Both were graduates of the United States Military Academy at West Point. One of the Army officers served a majority of his career in South America at diplomatic posts and the other served most of his military career in Europe. Not long after his departure from Iraq, one of the Army officers retired and received a senior executive position

within the private business sector and the other was reappointed as a United States Defense Attaché to a large country in Europe.

Another interviewee was a mid-level U.S. Air Force intelligence officer who retired soon after returning to the U.S. East Coast and was hired by a prominent defense contractor and given a well-appointed position within the company.

One individual was a mid-level Air Force reservist who was an elected politician in his hometown in the southeast United States. Shortly after he finished his assignment in Iraq, he was promoted in the U.S. Air Force Reserves. Subsequently, he volunteered and redeployed to Afghanistan to serve in a position of higher responsibility within the military intelligence field.

Two other individuals who are intelligence professionals have both been promoted and assigned to positions of elevated responsibility.

Finally, it is evident that the careers of Dayton and ten of his key subordinate officers and civilians did not suffer from the ISG's failure to uncover large stockpiles of Weapons of Mass Destruction.

Interview Geography

Although the preferred method of information gathering was electronically recorded personal interviews to ensure accuracy, for security reasons it was not always possible. Work schedules and availability caused four interviews to be conducted in places where electronic devices were not permitted. Even though the interviews were conducted on an unclassified level, I had to exercise a significant amount of caution carrying notes in and out of classified areas. One interview occurred in one of the senior executive wings of the Pentagon, two interviews took place in the sensitive areas within

the Defense Intelligence Agency. One interview was conducted within the West Wing of the White House. No restrictions were placed on interviews conducted in Italy and Poland. A lengthy telephonic interview was conducted with an individual who was living and working in Stockholm, Sweden. The researcher conducted the remainder of the interviews in various sites around the Washington D.C. area. The information has been collected and analyzed while simultaneously scrutinizing details to ensure their publication would pose no risk to national security. No classified information was recorded or discussed during the conduct of the interviews to ensure the final research paper would be easily accessible to all readers.

The existence and mission of the Iraq Survey Group created within the Defense Intelligence Agency was unclassified. Many of the methods and means of gathering intelligence was and remains sensitive and are not relevant to this research. Therefore, the instruments and results of the search for Weapons of Mass Destruction will not be discussed as it relates to the collection of intelligence information. The focus of this analysis will provide representative opinions and anecdotes regarding Major General Dayton's behavior as a strategic leader and their value as it relates to the three traits identified earlier: integrity, personality and intelligence.

Summary

A qualitative case study approach to study strategic leadership and the three traits that framed this investigation was the best method available because of the effort to draw out specific behavior of a strategic leader and determining unanticipated as well as expected relationships between variables.

Although the ISG is an intelligence organization that operates in a highly “secure” environment and works with mostly classified reports and information, this dissertation focused on unclassified human dynamics and information. Since the information in this paper is entirely unclassified, there is no risk of any damage to United States national security. Additionally, this chapter highlighted the limitations of the study. The fact that strategic leadership is a field “under construction”, my analysis had to lean heavily on the vast amount of general work already completed in the field of leadership.

Included in this chapter are the core questions that were used to frame each of the interviews. In order to keep the process intellectually honest, I did not ask “leading questions” in order to extract specific or parroted words that could be used later in the analysis.

It is important to note that this dissertation is in compliance with the University of Oklahoma’s Institutional Review Board requirements and policies.

Finally, in this chapter I reviewed who was interviewed and why him or her. Additionally, I included general biographical sketches of interviewees and their disposition “post ISG”. Clearly, no one suffered professionally because the ISG did not find Weapons of Mass Destruction. Like Dayton, many were promoted or assigned to positions of greater responsibility.

CHAPTER FOUR - ANALYSIS

In this chapter I will extract or draw out General Dayton's skill sets or abilities in order to determine whether or not and to what degree he was an intelligent strategic leader; whether or not he was a strategic leader of integrity; and whether or not and to what degree his personality played a role in his effectiveness and efficiency as a strategic leader. At the outset of each of the three subsections dedicated to intelligence, integrity and personality, I will briefly review the theoretical key traits identified in chapter two. Since strategic leadership is a sub-category of leadership and such a fledgling field, I will include traits associated with classic trait leadership theory, as well as strategic leadership theory. Additionally, I will include a general statement summarizing the supporting evidence of General Dayton's behavior from the interviews. In the remainder of the subsection I will highlight portions of the interviews that are germane to the scrutinized skill set. Finally, where possible, I will link the behaviors of General Dayton's performance with the identified theoretical traits.

INTELLIGENCE

"Officers who succeed at three and four star levels have the individual capacity to cope with complexity, amorphousness, and uncertainty. They do not have to have everything laid out for them. They have to resiliency and ingenuity to adapt to new and different circumstances."

-- Anonymous Lieutenant General

Summary

In this section I will examine the interviews for key constructs, adjectives and expressions associated with intelligence as noted earlier in chapter two. In addition to commonly accepted synonyms for the adjective “intelligent” such as bright, smart, intellectual, brilliant, and brainy, I will sift out other words and phrases drawn from the literature review such as absorptive capacity, an ability to handle complexity, problem solver, an ability to work with information diversity, an ability to develop mental maps, cognitive capacity, curious, informed and an ability to link information.

Generally, interviewees averred that Major General Dayton was an outstanding military leader with exceptional intelligence. Eight of the ten people interviewed claimed MG Dayton was a man with extraordinary cognitive abilities. One individual thought that if Dayton had less intelligence he could have been as successful. Another individual, clearly the minority, did not seem overly impressed with Dayton’s intellect. Five individuals specifically remarked that General Dayton was an intelligent person because he was fluent in the Russian language. During the course of three of the interviews, the interviewees claimed that MG Dayton was easily the most intelligent military general with whom they had ever worked or known. In the case of one officer who had earned a master’s degree in three different disciplines, “General Dayton was the most intelligent person with whom I had regular contact in my life” (Cooke, 2004).

Specifically, most interviewees said that Dayton had the ability to absorb enormous amounts of complex and disparate information, process and analyze it quickly and then exploit the information to his advantage and to the benefit of the Iraq Survey Group. Daily, he received, read and retained vast loads of intelligence reports while

discharging normal routine administrative responsibilities such as evaluations and awards. As a result, MG Dayton was always well-prepared for his daily meetings, video-conferences, and Congressional sessions. Additionally the ISG operated at a very high operations tempo or battle rhythm. General Dayton's facility with the Russian language, although impressive to many around him, did not influence or provide an absolute advantage for him as the Director of the Iraq Survey Group. However, one could easily argue that speaking Russian in this part of the Middle East presents a potential strategic advantage. Dayton's natural inquisitiveness for new information such as enemy intelligence, weather phenomena, sports and biographical data of his subordinates marked him as an unusually curious person. Interviewees also said that creating and refining an unprecedented ad hoc organization, such as the Iraq Survey Group, with little to no guidance from superiors demonstrated Dayton's sense of initiative and ability to solve problems. That the Iraq Survey Group, his model for intelligence gathering as a forward deployed element, may be used in future conflicts is a tribute to his effectiveness and efficiency as a strategic manager and leader.

During this investigation I could not prove General Dayton was intelligent because he may have had a photographic memory and that he might have been a speed reader. However, it seems fair to conclude that because he rapidly consumed volumes of complex information, retained it and was able to use it appropriately that he performed his job effectively and efficiently at the strategic level.

Finally, it is essential to remember the context in which all of General Dayton's behaviors occurred during this period in time. Despite the ambiguity and fog of war

surrounding him, General Dayton remained focused, calm and faithful to the mission which was to determine the truth concerning Iraqi WMD.

Interviews highlighting intelligence

Boone said that MG Dayton was “intelligent and capable who handled well the political complexities of the organizational set-up of the Iraq Survey Group. MG Dayton was a ‘class act’ who dealt well with multiple masters in a complex environment. The complicated nature of the ‘fog of war’ was especially true during the transition from the initial combat phase to the establishment of the ISG in the June 2003 time frame”. Boone claimed that Dayton handled it well but “(i)t’s like trying to build an airplane and fly it at the same time”. According to Boone, MG Dayton’s intelligence comprised a vision consisting of an end state for the Iraq Survey Group that was focused on determining the truth about the existence of Iraqi Weapons of Mass Destruction. Additionally, Boone felt that MG Dayton had a special innate “mapping ability” to help the Iraq Survey Group chart the way ahead. It was suggested earlier in chapter two that the ability to map is an intelligence component of a leader’s vision.

Gordon fell into the camp of people who strongly believed MG Dayton was extraordinarily intelligent and, at least in part, that intelligence was defined by the volume of information he could process. “Well, it was very obvious he was actually brilliant”. Gordon claimed he was told by a very reliable source that “he (Dayton) would literally take a stack of papers two inches thick and he would go right through it and digest everything he had. That was his daily routine first thing in the morning before he went to breakfast.”

Also, along the lines of “absorptive capacity” and maybe even deeper, Gordon clearly felt Dayton was more than capable of handling immense loads of information. “Not only could he digest the information, but also he could assimilate, internalize and synthesize the data. Whenever I would go into brief him on where and when and where we were going, he was usually three slides ahead of me in the process and he could see where it was going before I even got to the end.” Gordon felt that part of the reason for Dayton’s ability to work with so much information was his intense preparation, capacity for recall, but also his personal interest. “And part of that was because he was so well versed on our project. Now one of the things you have to understand about [my project] is that it was not under the CIA [Central Intelligence Agency] like Weapons of Mass Destruction so that my project was really his baby in many respects and he was very intimately involved with my project and that I had daily contact with him.”

The Armstrong interview brought out MG Dayton’s absorptive capacity, as well. “He, first of all, has a great capacity for soaking up information....probably better than any person I have seen. He was very in tune with the news and he spent a lot of time watching the news and would gear conversations towards what was in the “big picture”... and he had a great ability to pick up specific things and relate them to the big picture and he was very careful about making sure that the people around him” [were aware of the linkage].

That extraordinary intelligence was required for MG Dayton to be effective was not a belief to which Armstrong adhered. This view was different from most of the other interviewees, but I felt that Armstrong was downplaying Dayton’s intelligence to allow Armstrong to reinforce a positive trait that Armstrong felt was even more important.

“(A)nd granted he has an exceptional amount of intelligence but he would have been just as effective with less because he knew just how to use it.” Armstrong felt that General Dayton’s care, concern and compassion for the well being for all of his subordinates were some of his overriding strengths, as a leader. Under the category of personality, this characteristic will be reviewed later in this section.

Joliet’s interview brought out some interesting examples of Dayton’s absorptive capacity and unusual ability to accurately retain meticulous details.

“I’ve actually ranked him up there as one of the best if not the best leaders I’ve worked for,” according to Joliet. “....to a certain extent he has a photographic memory--- He was always curious about things. It didn’t matter where we were or what we were doing. If he didn’t know about it, he wanted to learn about it... he had a craving to learn.”

Later Joliet recounted an event that he/she felt was a good example of Dayton’s curiosity for knowledge. “For example Brigadier General Deverell [ISG Deputy from the United Kingdom] gave him a book on Saddam Hussein and he breezed through that really quickly and was pretty excited about learning about who Saddam really was and one of the many examples of his thirst for additional information and further knowledge.”

Although there is no conclusive information available in the literature reviewed on intelligence, it may be a logical conclusion that the ability to speed read might be an indicator of higher intelligence. Joliet mentioned how quickly General Dayton could absorb information.

“He was a speed reader. He read the Washington Post, New York Times, Atlantic Monthly, The Economist, The Early Bird (daily compendium from the Department of

Defense], Internet News, weather and sports. Anyone who knew him knew he was well versed in major league baseball. He consumed books in English and in Russian [languages]. He enjoyed crossword puzzles and had stacks of them.

As has been established, prior to deploying to Iraq as the Iraq Survey Group Director, Major General Dayton was the Director for the Defense Intelligence Agency's Defense Human Intelligence (HUMINT) Service. In this capacity he was responsible for supervising, rating or evaluating all of the U.S. military attaches deployed around the world. In total Major General Dayton wrote over three thousand evaluations. According to Joliet, he took this duty very seriously. Although he did not draft every one of the personnel evaluations, he "wordsmithed" most of them to reinforce, make stronger or make them more eloquent. He completed twenty to forty reports every one and a half to two weeks. He could be an administrative clerk's best dream or worst nightmare. Dayton had the ability to remember the individual status of evaluations and whether he signed them or not.

Dayton's remarkable photographic memory was evident to those who traveled with him. In the over one hundred countries in his portfolio around the world, he knew in which country each individual was assigned or stationed. In many cases he knew personal information about the attaches or was generally aware of their assignment history and/or to where they were headed on their next assignment.

In the establishment of the Iraq Survey Group Major General Dayton was given very little guidance and essentially, according to Joliet, was simply told to make it happen. Most of the interviewees raise the unprecedented nature of the establishment of the ISG as a deploying unit under the auspices of the Defense Intelligence Agency and

most opine that normal human beings of average intellect in a similar situation could not have been as effective as was Keith Dayton.

Creating an ad hoc organization with no precedence from a bureaucratic military organization with no mission statement, charter or vision is a daunting concept. Add the pressure of the eyes of the entire world community who were looking to blame the invasion of Iraq on faulty intelligence about Weapons of Mass Destruction. According to Joliet who was near him during the time he was designated/named as the Director of the ISG “...everyone was caught completely off guard.... And, pretty much all the guidance he was given was, “you are the director of the Iraq Survey Group, go forth and make it happen... so even the mission or mission statement is what Major General Dayton had to create with the help of his staff.”

Scott believed that General Dayton was intellectually very curious, a problem solver, a wealth of factoids, and recognized at the highest levels of the Pentagon for his cognitive abilities. Scott also felt Dayton was not only good at linking information, but also able to synthesize data ranging from simple to very complex.

“A less intelligent commander, may have succeeded, but self-destructed on any number of issues” with which the ISG director had to deal on a daily basis, according to Scott.

The Daily Battle Update Briefs (“The BUBS”)

At Camp Slayer, five kilometers from the Baghdad Airport, every evening at 6:00 p.m., MG Dayton chaired a meeting of the Iraq Survey Group attended by approximately one hundred individuals. Key team leaders presented briefings on important daily progress and future plans. These briefings were called “Battle Update Briefs” or

“BUBS”. On Saturday a similar meeting took place that reviewed the week’s progress, as well as longer range plans and evolving theories. The Saturday meetings were attended by another ten to fifteen people and were called the “Saturday BUB”.

During the daily briefings, according to Cooke, MG Dayton, except for clarifying comments, generally refrained from speaking until the very end of the one hour brief. “It was always exceptionally clear to everyone that not only had he listened to the details of all the briefs, but also was able to link pertinent information from that day to information previously briefed.” Cooke added that Dayton was not content to just hear the analysis from his subordinate leaders. “He then compared this linkage and further connected it with strategic information he received from a variety of his strategic resources. Then he sifted this information, further refined it, and developed it for distribution to the intelligence community at large. This was one smart guy”.

Joliet knew that MG Dayton prepared intensely for his briefings and in particular the Saturday BUBs. “He would read all the Intelligence and Information Reports (IRRs) that were posted on the classified ISG home page and If anything seemed out of whack [during the Saturday briefings] he would be ready to ask that question. I know he was just an intellectual sponge; he took everything in. An on top of all that he wanted to maintain his Russian [language] so he used to have this book in Russian along with a [language] dictionary.

Curiosity

Curiosity was mentioned in the literature as an indicator of intelligence and several interviewees who were close enough to him raised the issue of his thirst for knowledge. What is not discussed in the literature is the relevance of the curiosity. A few

interviewees thought that General Dayton was intrigued by meteorology and weather phenomenon. Additionally, several interviewees noted his curiosity for Major League Baseball and that he was able to discuss baseball on a much deeper level. According to Cooke, “Dayton reminded me of George Will, when it comes to baseball. Now, I consider myself an MLB [Major League Baseball] enthusiast. And he discussed baseball from angles and perspectives that I had never even thought of.”

Pike defined intelligence in terms of intellectual curiosity and the fact that General Dayton was a voracious reader. Additionally, not only did he have a tremendous absorptive capacity for new knowledge, but also he was able to assimilate, develop and utilize that information. He applied the information gained in terms of lessons learned and he communicated it with perspicacity. During this portion of the interview Pike mentions Dayton’s language ability, the recurring baseball theme and his ability to communicate effectively and clearly.

“Sure, I would have to tell you that I found MG Dayton to be one of the most intellectually curious people I have ever known and able to apply knowledge. We talked earlier about the capacity to connect the dots. Let me give you a couple of incidences of each of those”. Pike related his feelings about Dayton’s intellectual curiosity. “I found GEN Dayton to be an absolutely voracious reader. It seemed as if every time I turned around, he had another book out on his desk”. It was clear that Pike fell into the camp of those impressed by Dayton’s language capability. “One book that I remember was up there regularly and I don’t remember the title but it was a book in Russian. And of course he is fluent in Russian and I speak a little. But because of that relationship with Russian, I took a particular notice of this and took notice of other people within the ISG who spoke

Russian. It was clear that he maintained currency with that fluency with the language, knowledge of events in Russia and his awareness of Russian history. He seemed to be a student of history and biography in particular. An awful lot of books we had [in the ISG library] were on a variety of subjects. It seemed to me that whatever intrigued him he would read about in great detail and talk about and try to apply that to lessons and situations we (ISG) were going through.”

Pike said that occasionally he heard Dayton talk about books, articles or general information he had read and how they applied to operational, security and safety issues of concern to him.

“We talked about that in adapting to a situation where he might have had key personnel arguing (with) the chief of staff and you could see him trying to make these things happen. But he also had a wonderful way of communicating that. Not too many people operate on his intellectual level or plateau and for those who were there, he would communicate very clearly and directly. And for others he was able to come back to baseball, as baseball was recurring theme here. But he seemed to have a knack of taking a piece of information and be able to use analogy to convey his message to a broad audience whether it was the assembled throng of the evening BUBS while we had typically a hundred people in the room at that time his battle update brief where we would not only recap the daily events but also go to brief the past and make sure that everyone was synchronized and all the different components of the ISG understood. GEN Dayton was generally the last person to speak at the evening brief and when he did he often talked about personnel concerns rather making sure he took care of his people”.

He had the ability to communicate effectively through another construct not mentioned or linked to intelligence and that is through the use of analogies. “But he liked to relate that to analogy. So he was, I found, highly mentally curious about a variety of subjects. Read upon them well and applied them”.

Absorptive capacity is mentioned by Pike again when referring to the speed, load and effectiveness with which Dayton worked.

“Another area where I saw this and I personally felt the burden of this one heavily. There was a huge volume of intelligence reporting from a variety of sources coming through, as well as a variety of information on the periphery that had context enrichment to what we had to do. My entire staff of analysts could hardly keep up with GEN Dayton or at least keep up with the salient points regularly while everyone else was trying to sift through the mounds and mounds of information he had, he knew what the key issues were. And there was one that I prefer not to talk about, but he knew that things we focused in on turned out to be the issue of the day, if you will, and he always seemed to be just ahead of the power curve, the rest of the intelligence community, just ahead of the news... just ahead of any other source of information out there”.

Dayton’s effectiveness in handling the loads of data, according to Pike, manifested itself in his innate ability to continually find the most essential bits of information that either needed further exploitation and/or analysis. “But the moral of the story is we went through and poured through these documents and again GEN Dayton was able to go through and pick up the salient points faster than a staff of analysts could do it”. Pike gave an example using former Secretary of State Powell. “Powell identified the carrot connection to the Iraqi government and intent to poison the water supplies in the United States and we went back and tried to find the prewar intelligence that supported the statement that were in each of these three major [statements], I’ll call them, documents but we were basically using transcripts.”

Pike focused on Dayton’s fundamental analysis of Secretary Powell’s points. Pike felt that “it was related to our mission there about the decision to go to war, trying to find out what was the supporting intelligence from the baseline and structure, if you will, of where we were going to go from there which is something I don’t think anyone had thought about anywhere in the entire process within DIA, CIA and across the entire broad intelligence community of politicians”.

It has been established that not only the capacity to handle complex information, but also the ability to operate effectively in ambiguous situations may be the mark of advanced intelligence. The internal and external environments within and around strategic leaders must operate have been characterized as complicated and often times nebulous. During the Cooke interview it is clear that Dayton flourished in these types of environments.

“Mere mortals could not have pulled off what MG Dayton did to grow the ISG from an organization (DIA) that never deployed to combat make it flourish, high morale etc etc... .” He had an “extraordinary capacity for linking information because of his strategic comfort. And I suspect much of that comfort was gained as the Deputy J5 Pentagon or assistant for all strategic plans and policies for the entire US military.”

Cooke recounted the second time he ever met MG Dayton. It had been a couple years since they last had seen each other and at that time Cooke was one of several hundred individual under MG Dayton’s supervision. It was a chance encounter that occurred at midnight as their paths crossed in a hotel lobby thousands of miles from where either of them was based. MG Dayton noticed first Cooke, recalled his first name, as well as knew his next assignment. Cooke was stunned at Dayton’s ability to recall this information.

Cooke was also impressed with MG Dayton’s ability to work with large amounts of complex information. He only knew a handful of people who could simultaneously work options and alternatives to significant problem sets. This meant that MG Dayton had the ability to evaluate positive and negative courses of action to potential problem solutions, assign qualitative weights or values to those options and act immediately on the

decided course of action. In particular Cooke felt that MG Dayton had an uncanny [ability] “to navigate through the ambiguous fog of the ill-defined enemy situations, work simultaneously with and for several bosses, and understand an incomprehensible strategic political landscape, deal with diplomatic international components of the coalition”. Cooke added and “not to mention the extra ‘burden of command’ and be responsible for the complexities of operating a 1400 person contingent, the majority of which were located directly in harm’s way”.

Cooke felt MG Dayton had an administrative staff that helped him not get bogged down in daily minutiae and allowed him to remain focused on larger strategic issues. “It was apparent by many of his thoughts and comments that he was continually focused down the road. Although not articulated, MG Dayton’s mission was clearly not long term”. Cooke felt that his own experience coupled with MG Dayton’s comments that it would be fair to characterize the “half-life” of D.C. [The Interagency] interests in major themes or events as less than a year. Thus MG Dayton’s “long term” or “down range” focus for the ISG was approximately one year.

That MG Dayton was a problem solver is an understatement according to Cooke. On several occasions Cooke heard MG Dayton make reference to the fundamentals when approaching problem-sets. One of those procedures taught and used by most U.S. Army officers is the METT – T approach. This method simply breaks down a complicated situation into major components and allows the commander or leader to focus on important and essential elements of information eventually leading to an Operations Order.

Essentially, the acronym METT-T comprises Mission, Enemy Situation, Time available, Terrain, and Troops available. A detailed analysis of available information from a variety of sources is normally conducted into each area and then given to the commander to allow “problems to be solved, challenges to be overcome and obstacles to be negotiated”.

Byrd colorfully depicted General Dayton’s intellect using several metaphors. “He is a non-linear thinker and has the clarity of mind like a plasma type screen. Keith Dayton is in the top one to two percent of all G.O.’s (General Officers) I have known in all branches.” Byrd was no different than the others interviewed who felt MG Dayton had a gift for languages and, as such, it placed him in a class of intellectuals who were also great leaders.

Byrd, having worked with General Dayton prior to the war in Iraq, also made a key point concerning Dayton’s level of intelligence when he mentioned that Dayton had an incredible ability to “distill, crystallize, retain, brief amazing amounts of information” and then use it. What truly amazed Byrd was Dayton’s uncanny ability to concisely and accurately articulate a message in an email to others that may have taken Byrd hours to develop.

Noteworthy are Byrd’s comments about Dayton’s ability to orally articulate key messages when he referred to several visits to Baghdad by senior civilian and military leaders. According to Byrd, Dayton was “eloquent and patient during his detailed briefings”. During a comprehensive briefing to visiting Senators Warner and Levin, Dayton “did not use notes and showed his genius by hitting fat softballs over the fence” to several tough intelligence questions.

Byrd highlighted the fact that the conflict in Iraq and intensity of activity did not change Dayton's style of leadership. "In peace and war there was no hesitation in making a decision". Dayton surprised Byrd with his ability to shape and mould the Iraq Survey Group without a blueprint or template. He was "handed a notion by very senior officials in the Department of Defense and had to organize and tailor his forces, with a nebulous 'Commander's Intent'" which meant he had little or no guidance from above.

During Clark's interview, he not only mentioned Dayton's high level of intelligence in general, but also specifically commented on Dayton's capacity to absorb new information, apply it appropriately, preserve it and use it again much later. Clark also was pleasantly surprised at Dayton's accurate memory and absorptive capacity for voluminous information.

"He is the smartest General I've ever known," said Clark. "His ability to read, assimilate, digest, comprehend and retain new information was amazing". Referring to the Survey Analysis Group (SAC) which comprised at least thirty professional intelligence analysts, Clark said, "Dayton was a One-Man SAC"! Clark recounted that on one occasion Dayton consumed 700 pages of intelligence studies in two days and afterwards he challenged the analysts knowledge of the reports because he could remember so much of the material. "He could take in new information, package it and he was able to succinctly articulate it to 'Napoleon's Corporal' who was his vehicle driver, Dr. Cambone (Under Secretary of Defense for Intelligence), a soldier in the National Guard, Senator Dodd and Ambassador Bremer". This would be evident in memorandums Dayton crafted for the Office of the Secretary of Defense and the Director of the Defense Intelligence Agency.

“He had an unbelievable memory even six months later”. As complex as the Iraq Survey Group was with its complicated relationships inside the country with CENTCOM and outside of the country in Washington, D.C. and with all of the numerous ISG operations searching for WMD, Clark said Dayton’s memory never failed him. “I don’t remember a time when I had to correct his memory on a specific op (operation)”.

Summarizing this section, clearly General Dayton was a very intelligent person and military officer. He could absorb large amounts of complex data, process and analyze that information quickly. His remarkable ability to link that information and then employ it in reports, meetings and briefings made him a very effective leader at the strategic level. Dayton was an effective problem solver and a naturally curious person.

The most significant problem was that there was no template for the Iraq Survey Group and that the Defense Intelligence Agency had never deployed as an entity to a combat environment. Not only did General Dayton create an effective intelligence organization to determine the truth about Iraqi Weapons of Mass Destruction, but also his model is being favorably considered for future strategic deployments, if the need arises.

INTEGRITY

“God grant that men of principle be our principal men”

--Thomas Jefferson

Summary

In this section I will briefly review the literature on integrity and draw out the most important concepts and expressions to determine, if possible, whether or not General Dayton was an effective strategic leader because he was or was not a leader of integrity. In chapter two “integrity” was defined simply as congruence between the

moral values expressed in word and those expressed in action. Labels such as ethical, honorable, moral and principled were used to describe individuals who lead with integrity. The literature also identified straightforward, “churchgoing”, and selflessness as descriptors linked to integrity. Uprightness, candor, character and sincere were also descriptors used in the literature for leaders of integrity.

Ten out of ten interviewees identified MG Dayton as a leader of integrity. Three individuals felt his integrity was the strongest trait of the three traits discussed: intelligence, integrity and personality. Another three people had a difficult time clearly defining integrity. However, when asked to provide an anecdote demonstrating Dayton’s integrity, no one struggled. Five of the interviewees specifically mentioned “trust” as an important subcomponent of integrity. All of the interviewees felt that Dayton was an honorable man who always did the right thing speaking the unvarnished truth, regardless of any pressure in the form of a high ranking visiting delegation or a Congressional testimony.

From day one of the ISG’s existence, neither did he succumb to any pressure from any agencies or organizations in Washington, D.C., nor did he waver regarding the original mission of the Iraq Survey Group. His stubborn adherence to the mission to search for Weapons of Mass Destruction despite intense pressure to expand the mission gave him nearly hero status among the ISG troops. The integrity issue that deeply defined General Dayton is his insistence that the guards assigned to the high value detainees treat enemy prisoners of war in a decent and humane way.

Linking definitively his performance as a strategic leader to his integrity is an exercise that would probably require more research and data collection. However, it may

be fair to make some general observations concerning Dayton's strategic behavior and integrity. Gaining the nearly unanimous support of his officers and enlisted men because they trusted him made him an effective strategic leader. Finally, it must be stated here that General Dayton did have a built-in moral compass that always pointed to doing the right thing even when no one was present. To paraphrase an interviewee: Dayton always did the right thing because it never occurred to him to do otherwise.

Keith Dayton is a man of deep moral character and a leader of great integrity who was an effective strategic leader.

"MG Dayton believed in doing the right thing even when no one was watching". Armstrong knew MG Dayton as well as anyone and during his interview commented that not only was MG Dayton bright, but also that he acted with integrity – "always."

"What was kind of like icing on the cake with him (is that) he knew he took great pains to know what the really important issues were for our leadership and that was DIA (Defense Intelligence Agency), the DCI (the Director of Central Intelligence – George Tenet), OSD (Office of the Secretary of Defense) and the United States and he never let anybody close to him forget that what we were doing was not specifically to find Weapons of Mass Destruction but to satisfy United States needs and the Coalition's needs."

Joliet felt that MG Dayton's integrity was one of MG Dayton's best attributes, if not his best". During this interview Joliet said that Dayton was "a man of strong selfless character and he always spoke the clear truth. He believed strongly in building teams and relationships with peer, superiors and allies." Joliet believed that, generally, people trusted MG Dayton.

In his personal behavior he was a “stickler for doing things the right way”. “Rarely did he upgrade his airlines seat to business class because he did not want to take advantage of his rank or his position. His travel claims or expense reports were filled out with extreme care for honest detail”. Joliet was yet another person who felt compelled to comment on Dayton’s behavior when he was not in the company of others. She also used the phrase, “(H)e believed in doing the right thing even when no one was watching.”

During his preparatory session before traveling to D.C. and to Capitol Hill to testify in front of Congress, he was focused on not “spinning” or altering information. He was emphatic to all that he wanted to report the truth. Joliet said MG Dayton “did not pull any punches in his testimonies” because it did not matter to whom he was speaking (if they had a need to know) “the only difference is he used a few more “sirs” in his language.”

After congressional delegation visits led by Senator’s Rockefeller, Warren and Nelson, the senators and their staffers seemed to be more comfortable with the Iraq Survey Group, it’s leader and the mission because of MG Dayton’s ability to articulate the “unvarnished truth” regarding the lack of any “quality finds” at exploited sites.

Joliet recalled that MG Dayton believed and behaved consistent with the motto, “it’s better to do the harder right, than the easier wrong”. Joliet remembered that prior to the war it was important to MG Dayton to visit and lecture military attachés in training at the Joint Military Attaché School. During his lectures he emphasized the importance of officer integrity by warning the budding military diplomats about the hazards of diplomatic life.

According to Joliet, he always focused on the same three problems that from his experience caused the most concern: issues mixed with alcohol, members of the opposite sex, and money. Joliet commented that General Dayton labeled them the lures of “Booze, Broads and Bucks”. He was not religious zealot but Joliet said MG Dayton did read his Bible which accompanied him to Iraq. He regularly attended church services and was not known to use profanity.

According to Joliet, not an insignificant part of MG Dayton’s job was working with Iraq Survey Group coalition partners; both British and Australian. MG Dayton believed in full transparency of information sharing. This was much more difficult to do since DIA has significant responsibilities to safeguard United States national security. A majority of its bureaucratic security system, hardware and software are designed for U.S. citizens with special security clearances obtained through a rigorous investigative process. Although coalition analysts sat side by side in the ISG’s Analysis Center, there were terminals [computer monitors] that the British and Australians were not authorized to use or observe because they lacked proper U.S. security credentials. In this environment MG Dayton felt it critical to trust and be trusted.

Pike’s comments in this area are nearly identical to Joliet’s and others. However, MG Dayton, in the eyes of Pike, worked hard to “get it right” with senior members of the policy committee within the Department of Defense, the Central Intelligence Agency and the National Security Agency.

Pike gave an illustration that paints General Dayton, not as an ethical purist, but simply as a man of strong beliefs who possessed the flexibility of character to adjust to reality while simultaneously avoiding any compromise of values. During the summer of

2004 the Iraq Survey Group was enmeshed in a rapidly changing environment while enemy insurgents were adapting their tactics, techniques and procedures. General Dayton and talent-rich ISG, who were sent to Iraq to discover the truth about Iraqi WMD, faced immense pressure to adapt the ISG mission to keep pace with the quickly evolving operational environment.

“A corollary to that WMD mission, my particular function in going over there was to ferret out the regime and leadership targets to help us get to that mission not only with Saddam Hussein, but also his key deputies.”

Pike knew his team was not going to be a real-time [instant] intelligence cell and said his team struggled to really crystallize over how they were going to do that mission. However, he knew that mission had to evolve.

“We evolved in a variety of ways of supporting the broader ISG mission and we saw the mission evolve rapidly over there from strictly ‘WMD related programs’. Terror or Counter Terror and force protection became a huge huge element [of U.S. operations]. Force protection measures are those security and safety measures taken by a command or commander to protect the lives of the subordinates.

“In about late September or October [2003] where we had been getting by with one [present for duty] of four authorized Counter Terror analysts, we really ramped up quickly the Joint Integrated Task Force for combating terrorism. In addition CENTCOM [Central Command] brought in a large number of counter terrorism analysts.” Pike mentioned this because “this is how the ISG mission changed or evolved.” “Major General Dayton recognized that he was in a particularly bad spot and at the same time General Abizaid [Four- star commanding general of CENTCOM] was just beating on

him and Admiral Jacoby [Director, Defense Intelligence Agency and General Dayton's peacetime boss] and anybody else who had influence including Steve Cambone, [then Assistant Secretary of Defense] I am sure".

According to Pike, they were "trying to force the ISG into force protection and counter terrorism and get away from the WMD mission. General Dayton really stood firm to keep focused on the [original] mission. He also recognized the broader political constraints. He realized that if he were singularly focused on WMD, then with all the changes in the theater around us that we would effectively lose our effectiveness, as well."

Pike felt that Dayton struggled with this predicament and that he could see Dayton trying to respond to multiple masters. "I could see him trying to make sure he was the boat anchor for the mission that DIA sent so many people over to Iraq for, but at the same time supporting the broader mission. I think he kept a good blend on that one and he was astute enough politically to realize where he had to give a little bit and where he had to remain strong."

Boone spoke directly about MG Dayton's integrity. "Dayton played it straight always". "There was lots of pressure to get the goods. And if one combines that fact with relatively inexperienced people (ISG) it makes for a complicated situation. Boone claimed that Dayton, "was not trying to build a case for the smoking gun." He was referring to Weapons of Mass Destruction.

The Abu Gharib prisoner abuse debacle is well known throughout the world. Boone commented that long before there were any reports of abuse, MG Dayton was adamant about the proper treatment of the high value detainees being held by the Iraq

Survey Group. MG Dayton was conscientious about providing proper care to the detainees and was insistent on “by the book” interrogations.

One of the things Scott admired most about General Dayton was his moral compass and ethical behavior. “MG Dayton was a man of great principle. He was unflappable. Despite pressure exerted from higher levels to change his original charter from searching for Weapons of Mass Destruction to assisting with counter terrorism, MG Dayton remained steadfastly dedicated to his original mission”.

The 8,000-mile Screwdriver

Gordon seemed to be impressed by Dayton’s adherence to principles and said that, “(O)ne of MG Dayton’s biggest assets from my perspective was his willingness to confront the 8,000 mile screwdriver from Washington D.C. He was willing to throw the flag up and say ‘my people are doing the work and I will take the direction we are going to that is consistent with the security and safety of the forces in getting the mission accomplished’. He was very keen on making sure we had no casualties”.

Gordon felt that the General was focused on the truth. “MG Dayton said that we need to find the truth and not go with somebody’s cockamamie theory because if you try to prove theory you are running down leads that may go nowhere. What we need to do is evaluate the information everyday that we find and drive from there and that was key.”

In answer to the question, “to what degree would you say MG Dayton was a man of integrity?” Gordon’s answer was “Triple A rating or I mean A Plus. However you want to rate him, there is no question about his integrity and probably that is best demonstrated by the commitment his staff had to him”.

Gordon added, “(h)e had no qualms about challenging authority or doing what needed to be done to get the mission properly focused and going where he had to go... getting to the truth.... His quest for the truth and that was the key. We would pursue the truth wherever it leads us.”

Gordon was the only interviewee to raise the issue of the ISG’s name that suggested its real purpose. “To find the truth and that was the whole concept of the group, the purpose of the Iraq Survey Group was to do a *survey* to see what the truth was and I think we did that to some degree.”

Two anecdotes that illustrate Dayton’s support for doing the right thing, according to Gordon, are worth highlighting.

“One thing that I have to bring up when we talk about integrity. I had gotten beaten up so badly on email traffic and other things by folks in D.C. that were prepared to have my hide. I thought I was going to come back [to Washington, D.C.] and get fired. They didn’t think I was lying, they just felt like I wasn’t paying attention and following orders from D.C. and that wasn’t my job... and D.C. wanted us to go prove theories. And these were the theories you know that fat guys in comfortable chairs smoking cigars make up in office spaces and they are practical, plausible, and realistic at that point in time. MG Dayton said, you answer to me; you don’t worry about these people [from D.C.]. And that was fine with me because I trusted MG Dayton’s integrity. I mean I would have followed him anywhere, whatever he wanted to do, I would have done”.

The other anecdote occurred while Gordon was helping MG Dayton prepare for his congressional testimony. Gordon presented Dayton with a power point presentation updating the status of his team’s activities and the core of MG Dayton’s ethical beliefs is revealed in his comments to Gordon during the briefing.

“Yes, he was autonomous because he didn’t play the political game. He said, the ‘truth, truth, truth’. And as I was presenting them to him [Dayton] and we got about two slides in to the briefing, he said, ‘Gordon tell me the truth’. We are friends here and if we cannot speak honestly among friends then we can’t do this right or something to that effect. It doesn’t matter what D.C. thinks, we need to know the truth on the ground.

Don't tell me what D.C. wants to hear... but I walked away feeling this is great not letting political folks in D. C. bother him at all. He is telling the truth because we found it and that was important, critically important.”

It is noteworthy to highlight a brief portion of an interview with the officer who led the team that was charged to discover the truth about Captain Speicher, who was allegedly shot down during the first Gulf War in 1991. Some of the questions that provided a framework for this team's activities were: Was he shot down? If so where is the body? Was the body ever recovered, buried? Could Speicher have survived a crash and then have been imprisoned? This officer indicated that MG Dayton remained steadfast in his support for the POW MIA mission.

This officer was clear when he stated, “My mission based on the operations order was to find information that would lead to the resolution of the fate of Captain Speicher.”

“And the recovery of the Ministry of Foreign Affairs documents pretty much told me what I needed to know which they [Iraqis] never had him and that they didn't know where he was. This meant we needed to change our direction instead of searching prisons where you had nothing but ash. We needed to change our direction and focus more in the Bedouin Area. MG Dayton understood that perfectly and he supported the effort one hundred percent.”

General Dayton was entrusted as one of only a handful by the US government to talk to the family of the Naval Airman who was shot down. “The most important thing to me was finding the truth and here again is where MG Dayton played a key role. MG Dayton is the only one outside of the Defense Intelligence Agency Director's office or outside the intelligence cells that had direct communication with the Speicher family”.

“The Speicher family wanted to be kept informed about developments in the search for his body and the truth about his disappearance. But when MG Dayton came back to testify in front of Congress, he contacted the family and they had talked about the merits of the case. The family told MG Dayton ‘you are the one we want to hear from and you are the one we have faith in’”.

The officer claimed that it was, “MG Dayton that they [Speicher family] had confidence in and he told them the truth as we found it and that relieved me one hundred percent because I knew at that point whatever happened or whatever report made its way to Congress, at least the family knew the truth, as we found it.”

Cooke’s interview provided some support for the linkage between Dayton’s ethical behavior and his effectiveness as a strategic leader. “Dayton’s intellectual prowess would have little meaning in the scheme of things if it weren’t for his deep belief in ethical behavior. I think one of the things that makes Keith Dayton an extremely effective leader is his amazing talent for facilitating trust in people, trust in him, trust in his teams and groups.”

Cooke personalized his comments about Dayton’s integrity.

“I would follow him anywhere...to the four corners of the earth. As a matter of fact I did! It was Dayton’s leadership and well-developed sense of integrity that motivated me to volunteer to go to Iraq under his command. It was important to me to do something other than serve my own self-interests, but it made volunteering a whole lot easier knowing Dayton would be running the show! My experience with him over the years proved that he connects the appropriate behavior to the appropriate words and he does that always bearing in mind the truth.”

Cooke added another point about Dayton’s sense of integrity in a less than public environment.

“Soon after my arrival in Baghdad, behind closed doors, I asked General Dayton what was the Iraq Survey Group’s real mission. I had read all the intelligence reports, as well as press summaries, but felt that because of his peculiar access to key strategic decision

makers in the US government that he might give me some informal guidance. General Dayton told me that our mission was not to find huge stockpiles of WMD. Our mission, he said, ‘was to discover the truth, if possible, about Iraq’s WMD and WMD programs. I found great comfort in the fact that even though many in the world were watching him and that most Americans wanted to vindicate Colin Powell for his remarks before the UN prior to the March 2003 invasion, it wasn’t enough to sway KWD [Keith W. Dayton] one millimeter off his conviction to simply report the facts accurately.”

The longer the ISG remained in Iraq, Cooke felt, without finding an active WMD program and the closer it became to delivering the initial progress report to Congress, he wondered if it would be enough to shake General Dayton’s faith. Cooke also reflected on whether Dayton might succumb to any pressure to become more and more “diplomatic” with his words both orally and in writing.

In the build-up to the initial report to Congress Cooke said he should not have been surprised, “...but I was because his resilience steeled as we began to prepare the reports. When I asked for guidance on the report’s mechanics, both organization and structure, Dayton focused his comments on the truth resulting from the day to day factual information each team discovered and reported at the daily battle update briefings.”

Another interviewee, “Clark”, claimed that Dayton was one of the finest Generals he had ever known in almost three decades of government service. “General Dayton is a leader of impeccable integrity. He trusted me and I trusted him. He never ever gave me any reason whatsoever to be suspicious about whether he was telling the truth or not.....an absolute gentleman. I have immense respect for his intellectual capability as well as his sense of ethics and morals.” Clark rated Dayton’s integrity above his intelligence. According to Clark, the then Director of Central Intelligence, George Tenet conveyed his feelings about his role in the Iraq Survey Group to General Dayton. “Keith, I am giving you a situation without being in your face”.

Dayton's care and concern for the welfare and release of the prisoners was well-known in the theater of operations, according to Clark. Dayton made sure, when dealing with prisoners, the ISG personnel conducted themselves according to military regulations and international conventions. "Dayton followed the Geneva Convention and Field Manuals and he instituted process and procedures to release HVT's (High Value Detainees) at his level." Referring to the prisoner treatment scandal that plagued others in Iraq, Clark said, "(T)here was no Abu Gharib because of his leadership".

Clark felt that Dayton did not take unnecessary risks and sought appropriate advice. Clark said he was never asked to put unnecessarily his subordinates in harms way to chase down an unsubstantiated lead. General Dayton did not have a hidden agenda. "He sought out my opinion often on operational matters and it wasn't just to make me feel like I was being 'included'".

Clark remarked that Dayton had a tremendous amount of fairness about him and that he would not take advantage of any situation personal or professional because he was a General. Clark thought General Dayton was unpretentious and it was a positive quality that he ate the same food in the same place as the young enlisted soldiers. "Major General Dayton always did the right thing. He was predictable that way." During briefings Dayton "never coached the witness, didn't lead anyone, but always asked pointed questions to interrogate the information," said Clark.

One of the things Clark admired most about Dayton was his sincerity and candor. Clark said Dayton, unlike many others, was not afraid to admit his mistakes. Once General Dayton thought initially a subordinate officer had made an operational error and General Dayton let him know that he thought the officer was in error. Later it turned out

the subordinate had not made the error and Dayton wrote a memorandum and recognized the officer who had “called it right”.

Clark’s definition of a leader with integrity is someone who has a moderate view towards religion. Clark observed that Dayton not only went to church regularly, but also read and understood the Bible. Clark remarked that on a trip to Al Hillah where the fabled Babylon allegedly existed, MG Dayton showed his depth of knowledge of religions when he spoke extemporaneously about the meaning and significance of Babylon and the Muslim faith.

Dayton’s mantra repeated over and over was “Find the truth”. He never wandered from this belief even during the report writing for Congress, according to Clark.

Scott thought General Dayton could never be characterized as indecisive and that he did not waver when he believed he was right. “One never heard Dayton quibble. He was always clear and intransigent when he felt he was right. He would not move off his position.” Scott also observed that Dayton was so intelligent he could manufacture, if he desired, the requisite logic to support many different arguments. “However, even though Dayton was clever enough to have a stable of rationale from any viewpoint, he would always do what was right, even under pressure”.

Byrd said it best of Dayton when he said, “Because he was a man of character it never occurred to him to report or shape the truth or report with command influence.” Integrity is the most important attribute a leader can have; according to Byrd, and “in no way, shape, or form” did Dayton ever compromise his integrity.

Recapping this section, integrity is clearly present in General Dayton as a leader. His unwavering dedication to the mission to determine the truth about Weapons of Mass

Destruction engendered deep trust between himself and his subordinates. Resisting pressure from the “8,000 mile screwdriver” from Washington to change the ISG mission reinforced the fact that general Dayton was a strategic leader of impeccable integrity. His integrity helped him mediate between the strategic goals he set and the short term demands generated by the military commanders in the field and the politicians in the National Capital Region. Dayton’s selfless behavior even when no one was watching, while ensuring his subordinates were well taken care of was his trademark.

The net effect of his ethical behavior was the immense loyalty his subordinates felt for him. The by-product of this loyalty was a group of dedicated, hard-working professionals of integrity who would not let down their commander. Consequently, the ISG enjoyed a reputation in Washington, D.C. and in the Iraq Theater of Operations as an efficient and effective strategic organization.

PERSONALITY

“I cannot trust a man to control others who cannot control himself. Do your duty in all things. You should never wish to do less.”

-- General Robert E. Lee

Summary

In this section I will examine the interviews for key constructs, adjectives and expressions associated with the five factors of personality as noted earlier in chapter two. Each of the subsections dedicated to the five factors of personality will contain its own analysis and summary. Matching the theory with the evidence outlined below it is clear General Dayton’s personality tool box contained the requisite characteristics to be an

emotionally stable, conscientious, and open leader. A majority of the interviewees were not convinced that he had an agreeable disposition, according to the theoretical framework given by researchers. A likely explanation is that being likeable in a combat environment may not necessarily be a high priority for a leader whose subordinates routinely risk their lives. Finally, General Dayton did not meet the criteria for extraversion. Although it appears that he demonstrated the preferences and tendencies of an introverted personality, he had the extraordinary ability to transform himself into an extravert for short periods of time.

Earlier, in the theoretical discussion it was established that the lack of structure describing personality made it difficult to find reliable relationships and linkages between leadership and personality. That ambiguity is a challenge to conducting serious practical research, as well. During the interview phase of this research it became evident to this researcher that there were as many personal definitions and subsets of personality as there were subjects interviewed.

Many thought or assumed that leadership and personality were automatically linked by very specific connections. Several interviewees opined that personality within the framework of leadership described a leader as someone with well-developed and finely tuned interpersonal communication skills. A few suggested that being an extravert gives a candidate-leader an advantage or as one said a “leg up” when being considered for leadership positions.

EXTRAVERSION

“Well, I thought he was a friendly person, but he was ‘business first’”

-- Gordon

Extraversion includes descriptors such as gregariousness, sociability, assertiveness and zeal. Also, extraverts display liveliness, activeness and energy. Not one of the ten interviewees thought that Dayton was an extravert. To most of those interviewed the fact that he was not gregarious was probably the reason most often mentioned for the non-extravert label. Six people expressed the opinion that he was a reflective individual and not the kind of person that needed to be the “center of attention”. Four people mentioned that his work ethic included long hours and that having energy was never a problem for him because he always appeared to be tireless. Curiously, no one connected assertiveness to extraversion. However, he was described by three individuals as assertive when he needed to be. Only two individuals used the word “introvert” during their interviews to describe General Dayton’s personality. One person called Dayton a “controlled extravert” while another called him an “outgoing intellectual introvert”.

The most significant evidence that links Dayton’s effectiveness as a strategic leader with the extraversion literature outlined in chapter two is his transformational behavior in high profile situations. In specific high profile situations General Dayton had the ability to put aside his proclivity for highly reflective activity and place himself in the spotlight and perform extremely well. According to three of the interviewees who witnessed firsthand these transformations when visiting delegations of Senators and senior diplomats departed Baghdad after having met General Dayton briefly, they left with two impressions. First, it was obvious to the witnesses that Dayton had impressed them with his performance as the Director of the Iraq Survey Group. They remarked about Dayton’s organization, efficiency and truthfulness. The second impression was that General Dayton was a “flaming extravert”. He knew their time was limited,

sometimes an hour or two, and that it was critical to leave them with the appropriate impression. Their influence in Washington, D.C., as well as internationally, might be impacted by information received concerning the activities of the ISG, the organization that was attempting to discover the truth concerning the existence of Iraqi Weapons of Mass Destruction. As a result, Dayton temporarily became a much more gregarious and sociable individual; a transient extravert.

Gordon thought General Dayton was not the most outgoing leader he had ever met. “I would say he was an introvert. I would say General Dayton is more of an intellectual introvert. Probably more comfortable sitting quietly with his wife than he would be in a situation actively engaged with strangers. I think amongst friends, he would open up and talk. I would say he has a heart bigger than anybody’s”.

In answer to the question, “do you agree with the theorist who claims that extraverts are considered high energy people and more leaders than non-leaders are energetic and active and have high levels of stamina”, Gordon replied, “I disagree with that also”. He added, “It would be that your intellectual introverts are probably suited for command because they do read and they do internalize and they do think through problems and they can take action based on that thought process. Somebody that is an extravert may be too gregarious and will act on impulse rather than disciplined thought.”

Joliet made the most significant observation of this study into General Dayton’s personality. Up to this point in the research and analysis, almost all interviewees had painted Dayton as much more of an introvert than an extravert. Joliet said it was true that General Dayton was an introvert by nature and maybe by personal choice. However, according to Joliet, Dayton could “transform himself with appropriate preparation” into

an extravert, if required. During many visits by high level delegations, including those by US Senators, Congressional delegations, senior statesmen and military officers, Dayton changed into a talkative, high energy and seemingly outgoing person. In Joliet's estimation, nearly all delegation members departed from Baghdad feeling satisfied with their visit. The primary reason, according to Joliet, was General Dayton's uncanny ability to make everyone feel welcome and to give them unfettered access to the truth as the ISG knew it at that particular moment.

According to Joliet, MG Dayton could be and often was the "center of attention" during high level visits, if he desired. "He lured them in, shared struggles and bad news. He would power himself up, if necessary, but would let down if put on hold for some reason and be frustrated. He would come down slowly or decompress slowly after a visiting delegation departed." Afterwards, Dayton would always reflect on the visit's successes and failures and conduct a "hotwash" or lessons learned exercise. Normally, he would not schedule anything directly after a visit except a meeting with principal staff members. Joliet remarked that for post "hotwash" activities, General Dayton preferred quiet time to recharge his batteries by listening to classical music, reading biographies or immersing himself in his computer."

When he heard about Joliet's remarks concerning Dayton's ability to transform himself into an extravert, Clark agreed wholeheartedly. He added that MG Dayton was a "controlled extravert" further suggesting that Dayton could turn on and turn off some level of extraversion when and if he desired.

It was interesting that Pike described Dayton as an introvert even though he used words that most people would ascribe to an extravert. "I saw him as being extremely

approachable to both junior military and civilian analysts who could easily come and talk to him....to and from the dining facility, always very outgoing and very pleasant. I wouldn't particularly call him a gregarious individual, definitely not highly extraverted.

Pike thought Dayton always operated at a high energy level. "He got up early everyday, walked around the perimeter of the base [several miles] and he speed-walked around the base". Pike felt Dayton was keen on maintaining his physical stamina and that Dayton's physical well-being reflected directly on his ability to maintain his mental and emotional well-being.

Just because he was not extraverted, according to Pike, did not mean he was reclusive. "I would characterize General Dayton as thoughtful, but I would never accuse him of being introverted."

Cooke thought Dayton was a highly reflective person. "I'm not sure about these labels any more. Do I think he drew energy from being in a room full of people, no. Do I think he naturally prefers to be alone, absolutely not. Do I think he could be chameleon-like depending on the situation, yes? Clearly, he did not need to be the center of attention."

Scott was more direct. "Dayton was not extraverted, not sociable by nature. He had a reason for talking to you....not a 'bullshitter' and although he did not lead or manage by walking around and although he had the daily opportunity to 'eat with the troops', he did not."

Byrd thought MG Dayton was an introvert but qualified his comments by adding a thought that suggests that being an introvert is not necessarily a negative quality for a leader. "I classify him as an introvert. However when he trusts you, he lets you in."

Extraversion is not a trait that is clearly present in General Dayton as a broad personality characteristic. During the course of normal events, he demonstrated elements of introversion. However, the evidence suggests that he could transform himself and exhibit features of extraversion when he felt it necessary. This transformation was observed during high level visits by U.S. Senators or very senior officers.

OPENNESS TO EXPERIENCE

From chapter two we learned that leaders who possess openness to experience as a trait are people who might be open-minded, broadminded, creative, curious, cultured, original, independent, and imaginative. One of the interviewees linked introversion and openness and felt that Dayton's openness was mechanical and not natural. Two people raised Dayton's diplomatic disposition or broadmindedness when David Kay arrived in Baghdad armed with significant sponsors in the United States Government, as well as an unclear leadership role. Dayton graciously accommodated Dr. Kay, but did not relinquish command of the Iraq Survey Group. Dayton's willingness to compromise earned the respect of the interagency members in the ISG and in Washington. Certainly, his effectiveness in working with other strategic minded organizations was enhanced by his open nature and willingness to work towards win-win situations.

Four out of ten individuals interviewed mentioned that General Dayton was an open-minded person. In the situations cited below Dayton seemed genuinely disposed to change things in order to give them a more positive flavor.

Only three people used the words "creative" or "imaginative" to describe Dayton's leadership personality. As evidence of his effectiveness worth highlighting, General Dayton approved a significant change to the operating structure of the ISG. The

ISG's architects designed the original team concept to allow the flow of recommended target lists from the intelligence analysts in the Survey Analysis Center to the intelligence collectors who were loosely organized in different elements. According to the three interviewees, for various reasons relevant to this investigation but not releasable, a significant change was required to improve the efficiency of the ISG. General Dayton approved a modification to the ISG structure to include a functional team concept. Additionally, he approved a change to bring forward the analysts in the Survey Analysis Center from the rear operations cell to Baghdad where a preponderance of the ISG's operating elements were located. According to seven interviewees, as a result of the change, target information flowed smoothly and the teams performed well. The change broke down the barrier between analysts and collectors. The teams were more efficient, organized and better led. General Dayton assumed the risk for the change and as the only U.S. strategic intelligence leader in the region; he was responsible for its operational success.

Curiosity is an attribute found in the literature as a sub-trait for both intelligence and personality. It is less important to which category it belongs than the fact that leadership researchers feel it is an important for a leader to have it to be effective. During the portion of the interviews devoted to personality questioning, three individuals mentioned that General Dayton was a naturally curious person.

Although, openness was not his strongest attribute, General Dayton was broadminded enough to admit the original concept for the ISG was flawed and accepted the responsibility to change it for the better.

Gordon thought Dayton's openness was institutionally based and simultaneously

linked to his diffidence. Also, an interesting dynamic emerged as Gordon linked openness to introversion and mused about how similar he was to Dayton. “I think his openness comes from the position of command and having to be there. You know as well as I do that when you’re in command, you’ve got to lead and you’ve got to direct and that forces you to come out of your shell. Frankly, I have always considered myself an introvert and I grew up painfully shy.

“He was open to suggestions and not afraid to admit he’s not the smartest on the subject,” according to Joliet. “However, he welcomed new information on culture, habits, customs and personnel issues, especially reservists.”

The Team Speicher leader was not sure if Dayton was creative or imaginative in his leadership style, but he was convinced Dayton was open to change. “He was open, yeah. I don’t know if he was coming up with any original ones, but he was very open to others. And I’ll give you an example. The whole concept we had at the very beginning...was to actually take Speicher’s photograph and start going to insane asylums and start looking at people. And he [Dayton] was open to that.

“I saw him as being open...but certainly very very open,” were Pike’s initial words about Dayton’s openness.

Broadminded is a word used by theorists, as established earlier, to describe the openness component of personality. An appropriate example is provided by Pike’s description of Dayton’s relationship with David Kay. Pike felt that if General Dayton was insecure about the ISG leadership, it would have emerged in the “cauldron-like” environment of the Iraq Survey Group. “He remained firm that he was the ISG Director but was flexible enough to acknowledge this particular relationship. He and David Kay,

I'll say enjoyed, they came to enjoy each other. Although originally, they had to make it work, but they felt a mutual respect. They established good personal rapport and a good balance that allowed General Dayton to drive the big train while David Kay was able to focus in on particular substantive issues.”

Pike made a further distinction that Dayton led the day-to-day operations of the Iraq Survey Group but Kay was the one who independently wrote the initial report to the President and to Congress.

“It is clear to me that elements of Dayton’s personality effectively facilitated his working relationship with Kay without influencing negatively the tremendously important work of the Iraq Survey Group”.

“Dayton was more clever than he was creative,” according to Cooke. “His ability to invite imagination from us was only surpassed by his capacity to encourage us ‘to think outside the proverbial box.’” Cooke also felt that General Dayton should receive credit for his openness to change the original ISG organizational structure because, in part, it was not yielding enough quality information. Options for resolving the problem were briefed and General Dayton accepted a change.

“The original ISG’s Survey Operations Center structure included a nuclear team, rockets team, chemical team, and a biological weapons team. We recognized that our top-down approach to finding WMD wasn’t working. At the time we didn’t have Saddam, his sons or key lieutenants. Shortly after David Kay arrived we decided we needed to develop a bottom-up approach. In other words if we couldn’t focus on gathering the truth from the Iraqi leaders because we didn’t have access, we decided to focus on the people under the leaders who may have helped disburse and distribute the WMD, such as truck drivers and their supervisors. We had to find their centers of gravity because we were not enjoying much success turning over all the rocks we had thus far. MG Dayton blessed and approved the change to develop functional teams so we could ‘peel away the onion’ of the Iraqi alleged WMD cover-up. Dayton deserves the credit for his confidence in taking this chance.”

Pike amplified Cooke's point by stating, "(I)n the intelligence community we are so used to seeing a firewall between the analytic side and the collection side. And it took a lot of work and a lot of pushing and pleading and begging. But we were able to successfully bring those two sides of the intelligence equation together into what we called the functional teams.

"It worked wonderfully- we had analysts working hand-in-glove with the collectors such as they almost became seamless. We saw collectors doing analytic work and we saw analysts going out and doing collection for that real mission."

Cooke said MG Dayton handled the awkward Kay situation with "grace and aplomb". "Think about it, Dayton was sitting on top of his organization with vertical lines of authority and clarity. Out of the blue comes a man, albeit a highly qualified man, and all a sudden the ISG goes horizontal because no one knows who's in charge!" Initially, it was a strange predicament for many in the military according to Cooke. "However, Dayton demonstrated that he was a sophisticated leader with class". Dayton adjusted his position just enough to allow Dr. Kay room to "advise" and "write" and "communicate" with Tenet and the President. "I am an advocate of civilian control of the military. I'm talking about Rumsfeld and Bush, not Kay.... Everyone marveled at the way Dayton handled what could have been an ugly situation."

Joliet and Scott mentioned that Dayton had a fairly liberal open-door policy. Generally, U.S. military commanders encourage subordinates to use their chain of command to help them solve problems. If that system fails or is not used, a subordinate may directly approach a senior commander or officer to resolve a serious issue.

Scott claimed that Dayton had an open-door policy and that he could be open-minded when the situation was ambiguous. “I guess like most other leaders he did this in order to gather enough information from different perspectives in order to help him make the best possible decision.” MG Dayton had two “gatekeepers” or people, positioned outside of his door, who protected his time and screened carefully potential questions or issues that might ignite an embarrassing situation or just unnecessarily distract General Dayton from his primary focus.

Extraordinary humility

Cooke provided an extraordinary anecdote that also demonstrates not only Dayton’s openness, but also a remarkable level of humility. After a great deal of intense work by one of the five principal teams that was providing analysis and conducting searches for WMD, the team chief decided to brief a hypothesis-in-development at the evening BUB (battle update briefing). Counter to previous available intelligence and against prevailing opinions by CNN’s “talking heads”, the team chief proffered its team’s confidence in another theory. At the briefing the team chief said that although there may not have been large stockpiles of Weapons of Mass Destruction, Saddam Hussein actually believed they had WMD and that Hussein had been deceived by those in his inner sanctum into believing that in fact Iraq did possess WMD. According to Cooke, Dayton was not impressed or convinced and therefore quickly and publicly dismissed the “radical” theory in front of the approximately one hundred individuals attending the briefing.

The team chief, a senior military officer who prided himself on meticulous work and research, was dismayed and embarrassed that in his preparation for this briefing he

did not anticipate this outcome. He was perplexed about how to advance his team's new hypothesis in the face of such perceived opposition. The team chief worked through the night and by morning had amassed enough additional evidence he decided to try again and convince the General he needed to open his mind to a possible paradigm shift. By late morning through the use of email messages, a gatekeeper who pre-briefed Dayton and a short briefing by the team chief everything changed. General Dayton admitted he was wrong, reversed his earlier position, and supported the new theory.

During the design, deployment and build-up of forces, according to Scott, of the ISG, Dayton encouraged and entertained "out-of-the-box" thinking unless he detected self-serving behavior. He always asked sharp perceptive questions and he could cut through weighty issues and focus on essential...salient points."

Clark said Dayton had an open mind and was an "out-of-the-box-thinker". It was interesting that Clark mentioned twice during his interview that Dayton played "Stump-the-Chump" with him and others. Clark explained "Stump-the-Chump was a drill or practice designed to ask an intense series of well-thought out and researched questions to ensure the interlocutor was fully aware of other angles and perspectives. Although the ultimate objective of the exercise was to protect the lives of the troops by raising every possible scenario, sequels or branches to running operations sometimes deep into the heart of enemy territory, its unintended effect was that Clark felt inadequate to the task, and hence the name "Chump".

There are others that seemed intimidated by General Dayton's intellectual prowess and humility. However, as Cooke remarked, "Dayton didn't make me feel insecure about my weaknesses intellectually. Only I can make myself feel anything and I

take responsibility for my feelings. However, the unintended effect of his brilliance was inspirational for me. I wanted to study my profession harder, as a result.” It was clear to Cooke that executing flawless operations that protected his troops’ lives were more important to Dayton than making people feel comfortable in his presence.

Summarizing, Dayton was open to experience. However it was generally limited. One of the reasons for this may have been that the stressful environment in which the ISG operated could accommodate a limited amount of openness and change. Dayton could admit he was wrong and change his mind, if he thought it was necessary.

EMOTIONAL STABILITY (NEUROTICISM)

“Mild expressions of frustration was as ‘unbalanced as he became’
--Scott on Dayton’s emotional balance

Of all the traits investigated in this dissertation emotional stability is probably the one with the least amount of confusion surrounding it. In chapter two emotional stability was equated to being balanced, secure, amiable, non-deceptive and upbeat. Similarly, neuroticism uses synonyms such as unbalanced, insecure, hostile and depressed.

Not one individual interviewed thought General Dayton was unbalanced or neurotic. Every interviewee felt General Dayton was a confident and secure leader who was always the picture of self-control. His ability to remain stable and calm under all circumstances contributed towards his effectiveness as a strategic leader. During tense situations such as mortar attacks and the situation surrounding the capture and elimination of Hussein’s sons, General Dayton was as balanced, as clear and as upbeat as anyone could have expected.

Responding to a question regarding General Dayton's degree of neuroticism or emotional balance, Gordon, referred to the experiential rather than behavior when he said, "In his background and work you would have to be emotionally balanced, I think to be the Defense Attaché. To be in the human intelligence field, to be an artilleryman, you've got to have a balance of emotion because you have decisions that have to be made and again we were at war and I really didn't see him in a social setting outside his profession."

Scott also said he rarely heard Dayton raise his voice. He also said the director was never upset and always appeared balanced...always.

Joliet knew when Dayton was angry at someone or a situation. However, "he seemed determined not to show publicly how angry he was.....His self-control was really amazing.....a lesser man would have been hoarse from screaming."

Gordon suggested that Dayton's self-composed nature may have assisted him in situations that sometimes call for verbal reprimands. "If he was disappointed in somebody, I don't think he would show it publicly."

Gordon related an incident that demonstrates Dayton's self-control. During the summer of 2003 one of Gordon's subordinate officers was involved in a situation that would have normally caused a military commander to publicly rebuke him/her. Instead, Dayton did not say anything to anyone other than Gordon, which was to "go fix it".

"No he was not publicly emotional, but I think he has a big heart and he cares about his people and he cares for the job and getting the job done right and making sure that we do it without getting anyone hurt and that was critical. But we bonded and when I had my farewell he choked up; I think he even shed a tear."

Prior to the war, Byrd had worked with Dayton in a previous capacity and felt that in both situations Dayton was an extremely stable officer. Byrd said that Dayton was a rock of stability and that he never saw Dayton lose his composure. “Naturally, he would get frustrated at the system which did not always provide the speediest of support”. He continued by commenting that Dayton was the epitome of self-control.

Cooke thought that he would find the combat environment as one where nerves were always on edge, that sleep would be interrupted and fitful and that everyone’s fears would manifest itself in a culture of constant neuroses. “Dayton was the furthest thing from being a neurotic micromanager. I have seen more senior G.O.’s [General Officers] throw adult-like temper tantrums and verbally “wire brush” individuals perceived to be in the way of progress.”

“Major General Dayton was always calm, cool and collected. I recall during several tense situations—mortar attacks on the compound in particular—that he was the picture of stability.

“I recall one night in July 2003 the sky over Baghdad was lit up with a random flurry of tracers, rockets and anti-aircraft fire. It reminded me of a typical July 4th celebration in the United States. Many ISG staffers became jumpy and nervous because we knew it was not friendly fire and most of us assumed it was an anti-aircraft response to a coalition bombing attack on Baghdad. Several of us dashed up onto the roof of our building to get a better view leaving our self-protective equipment which included helmets, flak vests, and weapons down below. General Dayton, moving cautiously and methodically, met us up on the roof, fully dressed in his “battle rattle” [protective gear] and said it looked like celebratory fire and calmly directed us to wear our helmets so it would protect us against the falling debris from munitions. We had already lost a soldier to this type of incident in the recent days. As it turned out, Dayton was correct because we discovered minutes later that many Iraqis in Baghdad had been rejoicing over the news that coalition forces had just killed Saddam Hussein’s sons, Qusay and Uday in a firefight. You should have seen Dayton. His persona was more controlled and emotionally balanced than I could have imagined.”

The palace in which the Iraq Survey Group moved into during August of 2003 was not always the most peaceful of environments. Pike said,

“If emotions were rising because of a particular issue around him, he [Dayton] would sit back and bring it all in and once he knew that he had absorbed the right amount, that’s when he would step in, always calmly. And maybe once in all those months did I see him ever get flustered but never out of control, never approaching out of control. The moral of the story is that he would be unflappable in the face of a lot of rising emotions and then once he knew what to do, then he would not act exuberantly, if you will, and he wouldn’t be bubbly and giddy about it, but he would clearly engage with people.”

That he was a “model of control” was an understatement, according to Byrd.

Dayton repeated something during his more reflective moments that several interviewees thought was important enough to raise during their interviews. “One of General Dayton’s axioms was ‘you have to realize that about thirty percent of everything you can’t control’”.

CONSCIENTIOUSNESS

“History will show that no man rose to military greatness, who could not convince his troops that he put them first”.

--General Maxwell Taylor

In this section I will briefly review the key words and phrases reported in chapter two related to conscientiousness. The goal will be to link General Dayton’s specific behavior, which I call the “evidence,” with the theories identified earlier and his effectiveness as a strategic leader. After summarizing the findings I will highlight relevant portions of the interviews to reinforce salient points made below.

Conscientiousness is sometimes referred to as “will to achieve” or just “will”. Individuals who work conscientiously or diligently are individuals who are hardworking, achievement-oriented, persevering and dedicated. Conscientious individuals are

dependable, responsible, organized, careful and thorough. Additionally, being accountable for mistakes and demonstrating initiative and persistence are other requisite attributes for a leader. Finally, conscientious leaders have a fairly strong sense of purpose.

All of the interviewees used various language to describe General Dayton as a conscientious officer. No one suggested that he was an irresponsible leader or person. Six of the interviewees agreed that MG Dayton was a very dedicated and responsible General Officer who was willing to be accountable for any and all of his actions.

As reported earlier an important study that investigated the relation of the “Big Five” personality dimensions to three job performance criteria for five occupational groups indicate that conscientiousness was found to be a valid predictor for all groups. This suggests that because conscientiousness is linked to job performance, we may conclude that conscientiousness will be related to leaders’ effectiveness and efficiency. We also discovered that because conscientious individuals are more tenacious and persistent, it is expected that they will be more effective leaders. Dayton was persistent and tenacious when he had strong beliefs about any theories or operations with which the ISG was involved.

Although compassion was not one of the descriptive words used by personality researchers for conscientiousness, five interviewees used it as a way to describe the care and concern Dayton had for his subordinates. Expressed differently, Dayton was a dependable officer. Armstrong felt that Dayton’s background as a US Army combat arms officer is the principal reason for his focus, care and concern for his troops. “The first question he raised after he arrived in Baghdad for the first time concerned life support.

Life support comprises primarily living accommodations, food, sanitation, water, power and medical services.”

Dayton was not only compassionate about the living conditions of his subordinates, but also he was concerned about the welfare of the Iraqi people. Armstrong quoted Dayton, “You know ‘Armstrong’, every day the first thing I look for is smoke coming out of those stacks out there,” meaning the stacks supporting large industrial plants within plain view of Camp Slayer on which the ISG was located within the city of Baghdad’s outer limits, “because I know if smoke is coming out of there then the infrastructure in Baghdad is getting better.” He was also keeping in mind that US forces were there to help the Iraqi people and that was important to General Dayton.

An appropriate example of Dayton’s s degree of conscientiousness will to achieve, and openness to experience was illustrated by Pike:

“One of the things that he singularly recognized that we needed to go back and revisit all the basic intelligence that prompted us to go to war because of the WMD in about, I am going to guess, it was late September or mid-October of 2003 when we were struggling to find not only Weapons of Mass Destruction, but also to re-create [piece together] records to discover weapons programs. Dayton stepped back to take a look at the broader picture and looked at three particular products that have culminated all the pre-war intelligence on Iraqi WMD. One was Secretary Powell’s speech to the U.N. in 2003, one was a British intelligence report and the third escapes me by name.”

Pike felt that Dayton was an absolutely conscientious officer who believed in setting and maintaining the standards. “On all counts, I think he set a tremendous example in terms of a solid work ethic maintaining balance in life not only just in terms of hard work in the office environment or out in the field, but also in maintaining the overall broader military commitment and maintaining personal relationships.”

Another example of this is Dayton's commitment to soldier safety. He or his chief of staff would regularly stop all vehicles, military and civilian on the compound to ensure the vehicle's occupants were properly seat belted.

Pike provided the best example of Dayton's conscientious leadership and commitment to the welfare of the troops. It concerned the frequent mortar and rocket attacks on the base. A couple of the attacks in particular were serious enough to cause minor injuries. "There were at least two mortars that exploded right near the dining facility. General Dayton at least identified the potential alternatives to improve the security of the dining facility and he and his staff went out to investigate those [attacks] in an effort to try and improve the regional security of the dining facility." Dayton decided to opt for the Texas style barriers, not the smaller Jersey-style barriers, so that shrapnel could not penetrate the aluminum of the trailers that formed the dining facility.

Later in November as the weather changed, Pike mentioned that the trailers that accommodated officers, soldiers and civilians had no heat. "General Dayton made sure his J4 [Supply Officer] went out and replaced the air conditioning with heating units. He made sure the senior ranking individuals received the heating devices after the junior ranking personnel had received their heating units. Great leadership, absolute leadership-by-example there."

To further demonstrate the lack of clarity regarding personality terms in research, Joliet adds yet another perspective. "Early each day, he (Dayton) knew exactly what he wanted to do. Before he got to the front door of his office, he always wanted to know what was on his schedule so he could link a multitude of resources to prepare for these events."

“He always knew what he didn’t know,” according to Byrd. “He was not an intelligence officer so he surrounded himself with good people”. Byrd felt that Dayton, although not a professional military intelligence officer, was a responsible leader and not afraid to be accountable for his actions. According to Byrd, General Dayton desired to do things right, the first time. “The environment in which the ISG operated was complex and did not have the clear lines of command” normally found in military situations, especially in a combat environment. “There were many tentacles and hooks into the organization (ISG) from disparate agencies. He (Dayton) had to balance requirements from different organizations. And the single greatest challenge Dayton faced was that he was given a notion of the ISG and he had to develop a mission, tasks, functions” and then command and control it. Byrd thought a less conscientious leader might not be able to deal with the basic fact that his organization was technically subordinate to Central Command (CENTCOM) located in the region, but received missions from the Office of the Secretary of Defense and the Central Intelligence Agency.

Scott recounted an incident in which Dayton received a “face shot” which is a vague reference to being hit in the face by a fast moving hockey puck. Here the “face shot” refers to a reprimand or an admonishment by a superior. A reserve unit from Utah subordinate to the Iraq Survey Group that provided significant intelligence support suffered through a poorly managed last minute decision to recall their orders to depart Iraq after serving a normal tour of duty. Instead of packing their duffle bags to return home to their normal lives of family and civilian employment, they had been ordered to extend their war time service, but under a different command that needed their “critical” services. Dayton challenged the order and tried to convince a superior to rescind the

latest order to extend the Utah National Guard troops in Iraq. However his efforts to allow the Utah troops to return home according to schedule failed. MG Dayton delivered personally the bad news to the unit personnel after he worked diligently with his superiors to try and revoke the new orders to remain in Iraq. It was after pushing back that MG Dayton experienced the “face shot” from a superior officer.

The evidence suggests General Dayton was a conscientious and dedicated leader with a strong sense of purpose. Whether or not we add “compassion” to the list of synonyms related to conscientiousness, it is not as important as the fact that General Dayton was an effective conscientious strategic leader because of his successful behavior associated with protecting the lives of those in his charge, maintaining a decent quality of life for his subordinates, as well as for the Iraqi people.

AGREEABLENESS

I would rather try to persuade a man to go along, because once I have persuaded him, he will stick. If I scare him, he will stay just as long as he is scared, then he is gone.”

--General Dwight D. Eisenhower

This section will review the significant words or terms used by theorists identified earlier related to agreeableness. As in the other sections, where possible I will link Dayton’s successful performance to specific behavior to the trait theory. Agreeable leaders, according to the literature reviewed in chapter two are compliant, likeable, passive and friendly people.

None of the interviewees believed that General Dayton was a disagreeable person. Six interviewees made the comment that in war being likeable or liked is not the

highest priority for most leaders at any level. No one described Dayton as passive, compliant or anything remotely close to those terms.

Scott said “Dayton makes you feel comfortable with his communication style. He likes those who are the type of people who have the personal philosophy, ‘What you see is what you get’. However, we all knew we were in an ugly war and being likeable and popular were not constructs many of us felt were critical commodities for our leader.”

Pike explained that Dayton was an effective strategic leader because one of his skill sets was the ability to influence the operation with his affable nature. “The relationship between the CIA and DIA analysts at the working level was excellent. Initially ... there was a senior analyst from the CIA who was reluctant to trust or enter into a relationship with DIA [personnel] owing to experience or background or just never worked with individuals outside his own kind.”

Dayton’s affable nature is a principal reason for bridging a gap that weeks earlier seemed unbridgeable. “And I am thinking of one in particular...who came in kicking and screaming and wasn’t the most open personality, but certainly always seemed a little leery of the engagement, especially with DIA people, always was a little aloof and ...certainly in the spotlight”. As she became more and more familiar with General Dayton, who respected the Agency’s “rice bowl” [zones of responsibility], her comfort level rose exponentially.

“And you could see her coming to accept both the DIA and CIA relationship evolving, as well as collector –analyst relationship evolving. I would never characterize this individual’s personality as overly friendly but you could see a change in her ability to accept the evolving mission and I think much of it was General Dayton and something to do with David Kay and the weekly meetings” in which she had the opportunity to brief and get to know all the military staffers in the ISG.

Pike responded carefully to the question about MG Dayton’s likeability. “I would

say generally so.” However, Pike qualified his use of the term friendly for General Dayton. “I would take exception to that [describing Dayton as friendly] not because I don’t think that Dayton could be a friendly person....He is extremely outgoing with me”.

“At his peer level...with David Kay, with the British Brigadier [General] and the Australian Brigadier [General] I could see a much closer camaraderie then with others even at my level and I think that was appropriate in the military sense. Some of the civilians and some of the more junior individuals had trouble reacting to that...but I wouldn’t characterize him as friendly.”

Cooke answered this question glibly during the interview. “I was relieved that General Dayton was not a ‘buddy-buddy’ type of commander. There are a couple of sayings that are appropriate here. ‘Familiarity breeds contempt.’ We didn’t need a commander during this difficult conflict who was out to win a popularity contest. It’s dangerous!” The other saying is, “If the Army wanted you to have a friend, it would have issued you one.”

Rather than call him “agreeable”, Joliet called General Dayton “tolerant”. The ISG environment initially was very challenging with a very poor quality of life. There was “no guidance on how to make the ISG work. There was not enough manpower, computers or resources. He not only tolerated the lack of experience of those around him, but also he was friendly and courteous especially with visitors.” Despite his business-like approach, “people almost lined up to ‘grip and grin’ with him.”

Similar to the others interviewed, Byrd did not aver that Dayton was an overly friendly person in Iraq. However Byrd did say that Dayton had more important qualities. “He appears brusque and taciturn, but cares about the health and welfare of his

subordinates.” Byrd mentioned that Dayton worked assiduously to ensure his people received appropriate awards, evaluations and career development.

Another comment from Byrd worth highlighting in the category of agreeableness is that there was something in General Dayton’s personality that was directly responsible for maintaining a positive working relationship between disparate elements of the ISG. Byrd made reference to how hard General Dayton worked to ensure there was no friction between the Iraq Survey Group and David Kay. He assumed that there was general knowledge about pre-existing tension between Kay and the Iraq Survey Group leadership. “In order to accomplish the mission Major General Dayton deferred to David Kay. He was too much of a professional” to allow any personality issues interfere with what were believed to be more important mission-related challenges.

Generally, the evidence suggests that Dayton’s behavior was consistent with the qualities of an agreeable leader. However, what is not as clear is to what degree being agreeable really matters in a strategic environment.

CHAPTER FIVE - CONCLUSIONS

“As matters now stand, the WMD investigation has gone as far as feasible. After more than eighteen months, the WMD investigation and debriefing of the WMD-related detainees has been exhausted” (Duelfer, 2005).

One of the measures of success in the U.S. military is a promotion in rank. On November 15, 2005, six months after the Iraq Survey Group’s final report declared that there were no WMD in Iraq, Secretary of Defense Rumsfeld announced that the President of the United States nominated Major General Keith W. Dayton for appointment to the rank of Lieutenant General. The Secretary of Defense also announced that Dayton was being nominated to become the United States Security Coordinator for the Israel-Palestinian Authority.

Keith Dayton was widely seen, I think accurately, as an effective strategic military leader. To gain insights during this investigation I applied principally trait theories. To a lesser degree transformational and the Hunt’s Extended theories were used because some of their sub-components were trait-like. The focus on trait theory was not on the traditional belief that leaders are born with certain attributes, but on the belief that leaders need specific skill sets, whether innate or developed, to perform successfully.

Trait theory is far from obsolescence. Trait theories have had a curious history in leadership research. The perceived efficacy of the trait approach has waxed and waned the past century. Nonetheless, progress has occurred (Lord et al., 1986). This case study is an attempt to contribute to the growing body of research on the “waxing” side of the argument. The good news is that there is a great deal of open space to explore in the field of strategic military leadership. And since there is a paucity of serious strategic military leadership studies from which to draw, I used some license to extract more mature

concepts from general leadership literature. A great deal of important work has been accomplished in the field since Murphy said “Leadership does not reside in the person”.

General Dayton and the ISG were under unimaginably immense pressure and global scrutiny after the world watched the United States military invade a sovereign country because there were intelligence reports of an alleged Iraqi program developing Weapons of Mass Destruction program. Despite this stress, the burden of command in a combat environment, and feeling the weight of being the one who was ultimately responsible for the lives of over 1400 men and women, Major General Dayton managed to perform all of his duties well and garnered deep trust and respect of those who worked for him. Lieutenant General Dayton was an effective leader and he was successful.

In spite of the colossal challenges associated with establishing this presidential task force that came with no blueprint, he kept his composure under all circumstances and remained an ethical leader. The “8,000 mile screwdriver” exerted pressure from Washington on the Director but it was not enough to force him to compromise his values. He made sure everyone in his charge knew that the ISG mission was to discover the truth and not to find a “smoking gun”. Being a stickler for doing things the correct way, he placed a great deal of value on always speaking the truth clearly. He also believed in doing the right thing, especially when no one was watching. On a strategic level he impressed visiting delegations with his candor and the “unvarnished” truth. Speaking to the depth of his integrity was Dayton’s genuine concern and insistence that everyone in his organization should carefully follow the policies, rules and laws that govern the treatment of prisoners. As one of the interviewees aptly pointed out, “Dayton always did the right thing because it never occurred to him to do otherwise”.

Dayton was also an effective strategic military leader because of his extraordinary intelligence. According to several interviewees with extensive intelligence backgrounds, his model for a presidential intelligence task force is the paradigm for future deployments. It is the model for new joint operations centers that are being pushed by the Undersecretary of Defense for Intelligence to operationalize intelligence in the field to give combatant commanders more input into the collection and analysis of intelligence targets. Dayton's ability to read, understand, retain and effectively exploit vast amounts of information made him a dominant force in the interagency community. One of the most dynamic examples cited highlighting this ability was Dayton's synthesis of the data and precise conclusions after consuming months of intelligence reports in one night. Thirty intelligence analysts in the Survey Analysis Center divided and reviewed the reports in the same time period. Everyone agreed that General Dayton's deductions and recommendations were superior.

His unusual curiosity to understand different phenomena and his broad knowledge in many different disciplines allowed him to link seemingly disparate information. At the daily briefings there was a deluge of intelligence information reporting of the day's activities of the various groups. No one in the briefing room connected information better or faster than General Dayton who always seemed to have the larger strategic picture. Dayton was a nonlinear thinker and his integration or distribution of his information and his insights allowed the search teams to not only become more aware of the operations of other teams, but also it permitted them to understand better their activities in the context of other strategic intelligence activities in Iraq and the Middle East. Providing evidence that Dayton had a photographic memory,

as it was suggested, and the ability to speed read and linking them to intelligence is beyond the scope of this investigation. However, if he did have these traits or maybe even gifts, it might explain his remarkable capacity to absorb data.

That Dayton was promoted to Lieutenant General, which is one star below the highest rank possible in the U.S. military, is a testimony to his success as a strategic leader. That all of the interviewees, who were also his subordinates, were either promoted or assigned to positions of more authority and responsibility is also a feather in Dayton's leadership cap.

One of the reasons for this success is Dayton's personality. His complex personality draws people to him and makes them want to work assiduously for him. It is problematical because General Dayton was not a "classic" or "textbook" leader according to the trait theory. The evidence does not lean in favor of the position that Dayton was an "agreeable" leader. Although most interviewed said they liked Dayton, it was not because he displayed a likeable disposition. Complicating this may be that the research cited does not take squarely into account strategic leadership in a combat environment. Being likeable may not be a desired attribute when mortar rounds are landing on top of the dining facility and the lives of subordinates are in grave danger.

It was ascertained that General Dayton was not an "extravert". Even though by nature, he may be an introvert, there is convincing evidence supporting the notion that Dayton possessed the ability to transform himself into an extravert on demand. That demand was normally the requirement to escort, brief and socialize with the most senior officials from the United States government.

It was also established that General Dayton was generally “open” to experience. He could be reflective and imaginative in discussion and often expected his subordinates to develop broad options and solution sets to resolve problems. This might suggest he encouraged his subordinates to be creative and think outside the box. However, there is not enough evidence to support this implication. Additionally, the tense external combat environment may have stifled initiative and creativity. This trait might be better re-stated as not close-minded. The best evidence of Dayton’s broadmindedness that is related to his performance as a strategic leader is the diplomatic manner in which he handled the delicate situation with Dr. Kay’s ambiguous designation as a strategic advisor to or leader of the Iraq Survey Group. General Dayton’s priorities were centered on safe and efficient operations to determine the truth and the safety of ISG members. Satisfaction of his ego and visibility in the press were less important than the above stated priorities.

Besides being emotionally balanced, Dayton’s strongest personality attribute supporting the trait theory was his conscientiousness. Dayton was an effective, efficient and dedicated leader. He was dependable and organized. There is a lot of evidence that indicates General Dayton was an accountable leader. His willingness to testify at Congressional hearings for the successes and failures of the Iraq Survey Group is a solid example of his accountability. The area of conscientiousness that is worthy of future exploration is compassion. There is enough evidence presented that suggests compassion may be a subset of conscientiousness and warrants a deeper examination. Dayton was a firm but fair leader. However, he demonstrated a significant amount of care and concern for his subordinates that indicate he was a very compassionate person and leader. Further research is required to determine the role and linkage “compassion” has to leadership and

strategic leadership.

Limitations

This study was limited by the security requirement to restrict it to the unclassified level. Security policy within the White House and the Defense Intelligence Agency (DIA) prevented the electronic recording of any interviews. The pace in the West Wing of the White House was intense and it limited the interview to a brief working lunch in the White House Mess in which I took copious handwritten notes. There was a similar security situation in DIA at Bolling Air Force Base that limited me to taking only handwritten notes.

Although it was originally believed to have been beyond the scope of the original concept of this investigation, it might have been useful to conduct a comparative analysis of General Dayton's behavior in a different environment. If one could hold the traits constant in a different situation from the ISG, it would provide useful information with which to compare.

Additionally, I believe the dissertation could have been made even stronger had I developed an analysis of specific situational leadership factors as they relate to General Dayton's leadership behavior. In particular the discussion on Dayton's ability to transform himself into an extravert would have been better served by introducing relevant situational aspects and contextual characteristics.

The dissertation was also limited by the difficulty in comparing the data because of dissimilar answers from interviewees. This challenge was presented, in part, because of the ambiguity of abstract concepts such as "conscientiousness", "will", and "integrity" which invite personal interpretation. Another downside to the study is the immature

development of strategic military leadership as a discipline. A fair criticism of this study may question the strength of the suggested linkages between general trait theory and effective behavior identified at the strategic military level.

This dissertation investigated strategic military leadership as it applied to the leadership of General Keith Dayton and the Iraq Survey Group in the summer of 2003. To a modest extent I was able to identify the specific behaviors that contribute to strategic military leader effectiveness and efficiency using leadership theories, but primarily the classic trait theory. I framed this investigation using three of the most prominently discussed traits: intelligence, integrity and personality. I also exposed the strengths and weaknesses of strategic military leadership while simultaneously drawing and comparing relevant data from leadership theories.

Whether strategic leaders are born with intelligence, integrity and personality traits or developed or some blend of both, it is clear to me that strategic leaders are not “normal people”. They do not have to be extraordinary women and men as the Great Man theory proposes; however, they must have some combination of the “right stuff”. Executed properly, strategic leadership is exhilarating, demanding and relentless.

Future research on strategic military leadership should focus on developing comprehensive models that identify strategic military leader competencies and skill sets that link specific performance requirements. Furthermore the strategic competencies or characteristics should be linked to strategic leader performance with organizational success. These models will not be complete unless they include linkages to research on selection and assessment, as well as training and development of strategic military leaders.

Additionally, future research should review carefully additional traits or variables that surfaced during this investigation such as compassion. Although it was not mentioned in the literature, compassion has similar features to the personality portfolio, but in fact is separate and distinct.

One trait that was not discussed because it did not belong to any of the three trait-groups, but deserves deeper analysis can be best described as “an awareness of the strategic environment”. Clearly, General Dayton was comfortable operating in a strategic setting and was an effective leader in that environment. His relative comfort at the strategic level may have influenced or had some effect on his other trait behavior.

Final thought

While work remains to be done on trait theory, this dissertation demonstrates that traits influence the effectiveness of strategic military leaders. Some traits may be more useful at the strategic level as opposed to the organizational and direct levels. I have called attention to the need for serious investigation into what makes effective strategic military leaders. And this dissertation has identified some of the specific behaviors that link the traits of intelligence, integrity and personality to effective strategic military leadership.

Final proverb

Keith Dayton’s favorite Lao Tse Chinese proverb:
“But of a good leader who talks little when the work is done, his aim fulfilled, they will say, ‘We did it ourselves’.

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APPENDIX A - Biography of Keith W. Dayton



United States Army

**Lieutenant General
KEITH W. DAYTON**

United States Security Coordinator
Israel-Palestinian Authority, Tel Aviv
APO AE 09014
since December 2005



SOURCE OF COMMISSIONED SERVICE ROTC

MILITARY SCHOOLS ATTENDED

Field Artillery Officer Basic Course
Infantry Officer Advanced Course
United States Army Command and General Staff College
Senior Service College Fellowship – Harvard University

EDUCATIONAL DEGREES

College of William and Mary - BS - History
Cambridge University - MA - History
University of Southern California - MA - International Relations

FOREIGN LANGUAGE(S) German, Russian

PROMOTIONS

DATES OF APPOINTMENT

2LT	3 Jun 70
1LT	3 Jun 71
CPT	3 Jun 74
MAJ	6 May 81
LTC	1 Sep 87
COL	1 Jun 92
BG	1 Jun 98
MG	1 Oct 01
LTG	10 Dec 05

MAJOR DUTY ASSIGNMENTS

<u>FROM</u>	<u>TO</u>	<u>ASSIGNMENT</u>
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Jan 73	Dec 73	Nuclear Support Team Leader, 4th United States Army Missile Command, United States Army Pacific, Korea
Jan 74	May 74	Executive Officer, C Battery, 1st Battalion, 84th Field Artillery, 9th Infantry Division, Fort Lewis, Washington
Jun 74	May 75	Commander, Headquarters and Headquarters Battery, 1st Battalion, 84th Field Artillery, 9th Infantry Division, Fort Lewis, Washington
May 75	May 77	Commander, C Battery, later Fire Direction Officer, 1st Battalion, 84th Field Artillery, 9th Infantry Division, Fort Lewis, Washington
Jun 77	Dec 77	Student, Infantry Officer Advanced Course, Fort Benning, Georgia
Jan 78	Jun 78	Student, Foreign Area Officer Course, United States Army School of International Studies, Fort Bragg, North Carolina
Jun 78	Jun 79	Student, Basic Russian Language Course, Defense Language Institute, Presidio of Monterey, California
Jun 79	Jul 81	Student, Soviet Union Foreign Area Officer Overseas Training Program, United States Army Russian Institute, Germany
Aug 81	Jun 82	Student, United States Army Command and General Staff College, Fort Leavenworth, Kansas
Jun 82	Jun 83	Operations Officer, Division Artillery, 9th Infantry Division, Fort Lewis, Washington
Jun 83	May 85	Executive Officer, 3d Battalion, 34th Field Artillery, 9th Infantry Division (Motorized), Fort Lewis, Washington
May 85	Jun 87	Secretary of the General Staff, 9th Infantry Division (Motorized), Fort Lewis, Washington
Jul 87	Jul 89	Commander, 4th Battalion, 29th Field Artillery, 8th Infantry Division (Mechanized), United States Army Europe and Seventh Army, Germany
Aug 89	Jun 90	Student, Senior Service College Fellowship, Harvard University, Cambridge, Massachusetts
Jul 90	May 93	Politico-Military Staff Officer, later Executive Officer, Office of the Deputy Chief of Staff for Operations and Plans, United States Army, Washington, DC
Jun 93	Jul 95	Commander, Division Artillery, 3d Infantry Division (Mechanized), United States Army Europe and Seventh Army, Germany
Aug 95	Jul 96	Senior Army Fellow on the Council on Foreign Relations, New York, New York
Jul 96	Sep 97	Executive Assistant to the Director of the Joint Staff, Office of the Joint Chiefs of Staff, Washington, DC
Sep 97	Jul 99	United States Defense Attaché-Russia, Defense Intelligence Agency, Moscow, Russia
Jul 99	Jan 02	Deputy Director for Politico-Military Affairs (Western Hemisphere/Europe/ Africa), J-5, The Joint Staff, Washington, DC
Jan 02	Jun 04	Director for Operations, later Deputy Director for Human Intelligence, Defense Intelligence Agency, Washington, DC to include duty as Director, Iraqi Survey Group, OPERATION IRAQI FREEDOM, Iraq
Jul 04	Dec 05	Director of Strategy, Plans and Policy, Office of the Deputy Chief of Staff, G-3/5/7, Washington, DC

SUMMARY OF JOINT ASSIGNMENTS

Executive Assistant to the Director of the Joint Staff, Office of the Joint Chiefs of Staff, Washington, DC

Dates

Jul 96 – Sep 97

Grade

Colonel

United States Defense Attaché-Russia, General Defense Intelligence Agency, Moscow, Russia	Sep 97 – Jul 99	Brigadier
Deputy Director for Politico-Military Affairs General/ (Western Hemisphere/Europe/Africa), J-5, The Joint Staff, Washington, DC	Jul 99 – Jan 02	Brigadier Major General
Director for Operations, later Deputy Director for Human Intelligence, Defense Intelligence Agency, Washington, DC to include duty as Director, Iraqi Survey Group, OPERATION IRAQI FREEDOM, Iraq	Jan 02 – Jun 04	Major General
United States Security Coordinator, Israel-Palestinian, General Tel Aviv	Dec 05 – Present	Lieutenant

US DECORATIONS AND BADGES

Defense Distinguished Service Medal (with 2 Oak Leaf Clusters)
 Distinguished Service Medal
 Defense Superior Service Medal
 Legion of Merit (with Oak Leaf Cluster)
 Meritorious Service Medal
 Army Commendation Medal
 Parachutist Badge
 Ranger Tab
 Joint Chiefs of Staff Identification Badge
 Army Staff Identification Badge