

JUNIOR OFFICER LEADERSHIP DEVELOPMENT  
IN THE NEW ZEALAND ARMY

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MASTER OF MILITARY ART AND SCIENCE  
General Studies

by

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## ABSTRACT

JUNIOR OFFICER LEADERSHIP DEVELOPMENT IN THE NEW ZEALAND ARMY, by Major Iain C. Hill, 98 pages.

This research project analyzed the leadership development structure of the New Zealand Army and assessed options for enhancement. The primary argument of this study was that minimal guidance existed as to the format for junior officer leadership development during their first two years post-commissioning. The study reviewed the existing leadership doctrine of the New Zealand Army and wider New Zealand Defence Force and compared the doctrine to that of other countries within the Five Eyes Intelligence community. Additionally, the thoughts and opinions of senior officers within the New Zealand Army and United States Army were gathered using a survey, to gain their perspective and identify any key areas for change.

The study first identified that there is a lack of defined guidance for Commanding Officers in all of the armies except the British Army, and secondly that reliance on “on the job training/experience” had varying degrees of success. Ultimately, the study proved that the research question could be answered by the introduction of formal guidance for Commanding Officers, and a structured development plan for all junior officers.

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## ACRONYMS

BOLC	Basic Officer Leadership Course
DP	Development Period
FVEY	Five Eyes
JOLP	Junior Officer Leadership Programme
LRM	Leadership Requirements Model
NZDF	New Zealand Defence Force
PCTP	Post-Commissioning Training Programme
US	United States



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## CHAPTER 1

### INTRODUCTION

*Leadership is that mixture of example, persuasion and compulsion which makes men do what you want them to do. I would say that it is a projection of personality. It is the most personal thing in the world, because it is just plain you.*<sup>1</sup>

— Field Marshal William Slim, *Courage and Other Broadcasts*

#### Background

Junior officers play a vital role within the military, a role that has become increasingly complex. Junior officers have found themselves dealing with enhanced communications capabilities, increasingly decentralized command, dispersed operations, and complex and demanding operating environments, all of which have made their jobs more challenging with less margin for error. To quote the British Chief of the General Staff, General Sir Nick Carter, “The operating environment is increasingly uncertain, complex and dispersed. Leadership has never been more challenging.”<sup>2</sup> Accordingly, it is the responsibility of both the institutional army and more experienced military professionals to ensure that junior officers are suitably prepared for the challenges they will face. This preparation includes both formal and informal methods; however, the intent of this research is to provide greater structure to one phase of junior officer

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<sup>1</sup> Field Marshal William Slim, *Courage and Other Broadcasts* (London: Cassell, 1957), 14.

<sup>2</sup> Ministry of Defense, *The Army Leadership Code: An Introductory Guide* (Surrey: Crown Copyright, 2016), 3.

development that is currently undefined, namely leadership development post-Commissioning at the Unit level.

The inspiration for this thesis is the researcher's experience and background. Having served as an officer in the British Army before emigrating and joining the New Zealand Army, the researcher is in a unique position of having experience in junior officer training within two armies; as well as having gained an insight into the US Army's development systems through a year at Command and General Staff College. The researcher was the beneficiary of professional development in the British Army as a Second Lieutenant, Lieutenant, and Captain, and has been responsible for the delivery of junior officer development as a Battalion Adjutant, Company Commander, and Chief Instructor within the New Zealand Army. This experience gives the researcher an insight into the parallels that exists. In the long term, this project is seen as a means for the researcher to become a better leader, and as a way to ensure that the researcher can do the utmost to develop subordinate officers in the future.

### Purpose and Research Questions

The intent of this study is to describe and compare the New Zealand Army's junior officer leadership development model to those used by the British, Canadian, and US armies and identify ways the New Zealand Army model can be improved. Therefore, the primary research question of this study asks:

How can the New Zealand Army improve the leadership development of junior officers?

Two secondary research questions support the primary question. The first question relates to the effectiveness of the current New Zealand Army leader

development program in relation to the expectations of senior leaders within the New Zealand Army, and as such asks:

1. How has the leadership of junior officers in the New Zealand Army met the expectations of senior leaders?

The second question relates to the comparison component of the research and asks:

2. How does the junior officer leadership development of the New Zealand Army compare to other armies within the Five Eyes (FVEY) community?

### Definition of Terms

Five Eyes Community. The Five Eyes, often abbreviated as FVEY, is an intelligence alliance comprising Australia, Canada, New Zealand, the United Kingdom, and the United States. The multilateral UKUSA [United Kingdom-United States of America] Agreement, a treaty for cooperation in signals intelligence, binds these countries.

Junior Officer. For the purpose of this research, a junior officer is a person holding the New Zealand Army rank of Second Lieutenant or Lieutenant, or foreign equivalent.

Leadership Development versus Leader Development. Although often used interchangeably in doctrine throughout the militaries reviewed herein, the difference between leader and leadership development is not mere semantics. For academic clarity, the researcher has differentiated between the two by categorizing leader development as activities that focus on developing human capital, and leadership development as

activities that generate social capital.<sup>3</sup> In layman's terms, leader development focusses on improving the individual, whereas leadership development concentrates on improving a leader's ability to influence others through their relationships. Despite their differences, the two are mutually supporting, and seldom considered in isolation.

Senior Officer. For the purpose of this study, a senior officer is a person holding or who has held the rank of Colonel or above.

### Limitations

A fundamental limitation of this research is the lack of information about formal leadership development models that exist. Secondly, this study is potentially limited by the researcher's prior military service as a British Army Officer. Any potential bias is unintentional.

### Delimitations

Australian Army Leadership Doctrine. Despite being a member of the FVEY community, the Australian Army is not included in the scope of the research because of the lack of availability of relevant Australian leadership doctrine.

Focus on Regular Force Officers. Although the researcher acknowledges the importance of integrating Reserve Officers, this research effort must limit its scope to Regular officers as a function of time. This gap could provide the potential for follow-on research, should a future researcher deem it worthy.

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<sup>3</sup> Enduring Philosophies, "iLead Series—Leader Development vs Leadership Development," October 10, 2012, accessed December 4, 2016, <https://enduringphilosophies.wordpress.com/2012/10/10/ilead-series-leader-development-vs-leadership-development/>.

Changes in Leadership Doctrine. As with any major organization, the doctrine of the associated armies reviewed within the bounds of this research is subject to review and revision. Therefore, this research is time-sensitive, in that it is based upon the existing doctrine that the researcher had access to, at the time.

Scope of comparison. Based upon the constraints of time and resources, the leadership doctrine of only four countries has been reviewed. They were chosen, based on commonality of language, accessibility of resources, security cooperation/information sharing, and the researcher's familiarity.

Depth of analysis of survey results. Due to a lengthy delay in the process for gaining approval to conduct a survey, the researcher had extremely limited time to analyze the responses. As a result, the level of analysis that the researcher was able to conduct was itself, limited.

Cultural differences. Cultural and societal differences between the armies and countries under review is not part of the scope of this research.

### Methodology Summary

The research methods used in this research project were a combination of content analysis and survey. The content analysis related to the review and analysis of the existing leadership doctrine of the New Zealand Army, US Army, British Army, and Canadian Army. The survey was conducted with a population of 8 to 10 senior military officers (rank of Colonel or above) from within the New Zealand Army and US Army. The specified population was selected because they will have served in senior leadership and command positions thus providing them with the experiential base to provide meaningful, valid and reliable responses.

This survey was a non-random, purposive sampling selection because it was the most effective mode by which to leverage the specific knowledge of the target audience. A random sample would not have included sufficient numbers of senior-level officers with the necessary experience to provide valid and reliable responses. The target survey audience was specifically selected to ensure optimal levels of validity and reliability in the results. The methodology selected in the survey was a mixed method, utilizing both numeric value questions and open-ended questions. The first type of question, the numeric value questions, provided objective quantitative data and the second type of question, the open ended questions, provided the experiential qualitative input through free text entries provided by the respondents. Survey were sent electronically via email, and responses returned by same means.

### Conclusion

This chapter explained the logic behind the researcher's intent to study the subject of junior officer leadership development, and examine some of the capabilities and constraints necessary to shape the research for subsequent development. The chapter identified the researcher's experience, and ultimate goals, as well as quantifying the purpose of the study, and the associated research questions. The introductory chapter also introduced some of the standard terminologies for subsequent reference and identified some of the limitation and delimitations that are relevant to the research. The key takeaways from this chapter are the understanding that this is a research project designed to identify options for improving the structure of professional development that regular-force junior officers receive whilst at their first unit, post-commissioning. The study will be conducted by reviewing existing doctrine, comparing it to the doctrine of other armies,



and garnering the views of senior officers who have been responsible for delivering junior officer development at the unit level.

## CHAPTER 2

### LITERATURE REVIEW

Doctrine is indispensable to an army . . . it provides a military organization with a common philosophy, a common language, a common purpose, and a unity of effort.<sup>4</sup>

— General George H. Decker

To provide an answer to the primary research question, it is important to evaluate the junior officer leadership development that is conducted in other armies across the globe. In accordance with the secondary question “How does the junior officer leadership development of the New Zealand Army compare to other armies within the FVEY community?” the literature review will appraise the doctrine of the US Army, the British Army, and the Canadian Army. To generate an understanding of how these armies conduct their respective junior officer leadership development, this literature review will seek to outline the entirety of the officer development programs as well as detailing existing formal leadership development that takes place at the junior officer level. Before the review of the foreign doctrine, the researcher will establish the baseline by examining the existing New Zealand Army and New Zealand Defence Force (NZDF) leadership doctrine as it relates to junior officers.

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<sup>4</sup> Michael Dewar, *An Anthology of Military Quotations* (London: Robert Hale 1990), 32.

## The New Zealand Army Model



Figure 1. New Zealand Army Leadership Development Framework

*Source:* Institute for Leader Development. *Leadership Development Systems–Lead Leaders Development Guide*, Version 2015.01 (Wellington, New Zealand: New Zealand Defence Force, 2015), 8.

As stated, the first part of the literature review will focus on the doctrine that exists within the New Zealand military to establish the current methods for developing junior officer leadership. This review begins with an explanation of the officer-training continuum, describing the existing leadership development courses, and what informal leadership training is expected.

In the New Zealand Army, officer training starts with a 12-month commissioning course conducted at the Officer Cadet School, based in Waiohuru at the Army Command

School. This course is mandatory for all Regular Force officers, and during this period Officer Cadets are assigned to a particular corps where they will be posted following commissioning. Once an Officer Cadet has commissioned to the rank of Second Lieutenant, they fall under the auspices of the Post-Commissioning Training Programme (PCTP).<sup>5</sup> Although posted to their new units, the newly commissioned officers remain in Waikato under the control of the Army Command School for their first year. The reason behind this decision centers on the amount of mandated institutional-realm development during the first year post-commissioning. Historical examples show that prior to the introduction of PCTP, junior officers spent very little time doing their job as a commander, and so this led to the decision to centralize control of this requirement. Junior officers are able to interact with their new unit, but do not hold a specific role as yet.

The initial part of PCTP provides a buffer zone for the transition from cadet to commissioned officer, and means that the gaining unit does not repeatedly lose their new officer for extended periods whilst the officer has an actual assigned platoon to command. Once the first year of the PCTP is complete, the junior officer joins their new unit on a full-time basis, and in most cases, is given command of a platoon or troop. Responsibility for continuing the officer's development under the PCTP transitions from the Army Command School to the new Commanding Officer. Management of this development is in conjunction with the Directorate of Army Career Management, which

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<sup>5</sup> New Zealand Army, *NZP(A) Vol 7 Training*, Chapter 3 "Individual Training," Section 4, "Officer Training" (Wellington, New Zealand: New Zealand Army, 2016), 3341.

provides Commanding Officers with advice on timelines for attendance to formal courses. Although doctrine states that “The PCTP is to teach junior officers the general skills they need to know to carry out their role as a junior commander”<sup>6</sup> the researcher was unable to obtain any specificity around what that meant in regards to leadership development. This lack of standardization and clarity is a key part of the overall thesis of this research as it relates to leadership development.

Second Lieutenant to Captain Courses. Regarding further professional development, the next educational courses that a junior officer must attend are related to promotion to Captain. In most cases, the first course is the trade-specific or branch course relevant to the respective corps of the officer. This intent of this course is to prepare the officer to operate within a battalion staff, within their branch. Following completion of their trade-specific course, the next step is attendance on the Grade Three Staff and Tactics Course.<sup>7</sup> The Grade Three Staff and Tactics course prepares officers to perform the duties of grade-three (SO3) operational staff appointments and introduce officers to the all-arms environment.

Leadership Development Framework. A relatively recent addition to the professional development continuum for all ranks has been the introduction of a leadership development framework, which runs parallel to the other educational requirements across the entire NZDF (see figure 2). The Institute for Leadership Development conducts a series of courses, which deliver leadership and leader

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<sup>6</sup> Ibid.

<sup>7</sup> Ibid., 3351.

development based upon the requirements of organizational leadership and transition to the next rank.<sup>8</sup> There are six components of the framework, some of which relate to leader development, and some that relate primarily to leadership development.

From the perspective of leader development (i.e. focused on development of the individual), there are two main elements: (1) Live the Ethos and Values, and (2) Think Smart. Each has a series of associated competencies or focus areas. The first element, Live the Ethos and Values, focusses on appropriate role modelling, self-awareness, and self-control, all of which align with the concept of individual betterment. The second element, Think Smart relates to the leader's ability to deal with complexity, maintain situational awareness, and apply innovative techniques. As with the first element, these skills are individually focused, but also effect relationships and the leader's ability to influence others.

The other four elements of the Leadership Development Framework are all focused on leadership development and improving the relationships. The four elements are: (1) Influence Others, (2) Develop Teams, (3) Develop Positive Culture, and (4) Mission Focus. Again each has a series of associated leadership tasks. From the title alone, it is clear that Influence Others has an emphasis on the development of social capital; this element deals with the building of trust and relationships, the understanding of culture and group dynamics, and conflict resolution to enhance overall performance. Develop Teams is another element with a clear emphasis on relationship building. This

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<sup>8</sup> Institute for Leader Development, *Leadership Development Systems–Lead Leaders Development Guide*, Version 2015.01 (Wellington, New Zealand: New Zealand Defence Force, 2015), 8.

criteria requires a leader to develop their relationships with other members of their command team and to invest time in subordinate development. The third element of the leadership development aspect of the framework is Develops Positive Culture. This provides a focus on the application of leadership theory, mentoring and developing leaders, and driving change to ensure continuous improvement. Of all of the leadership tasks within this element, the task of Lead Through Engagement in Addition to Orders<sup>9</sup> stands out and encapsulates much of what is important in terms of social capital and relationship building. The last element of the New Zealand framework is Mission Focus. This relates to the ability to provide clear intent, direction, and purpose, as well as setting standards and providing accountability.

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<sup>9</sup> Ibid.

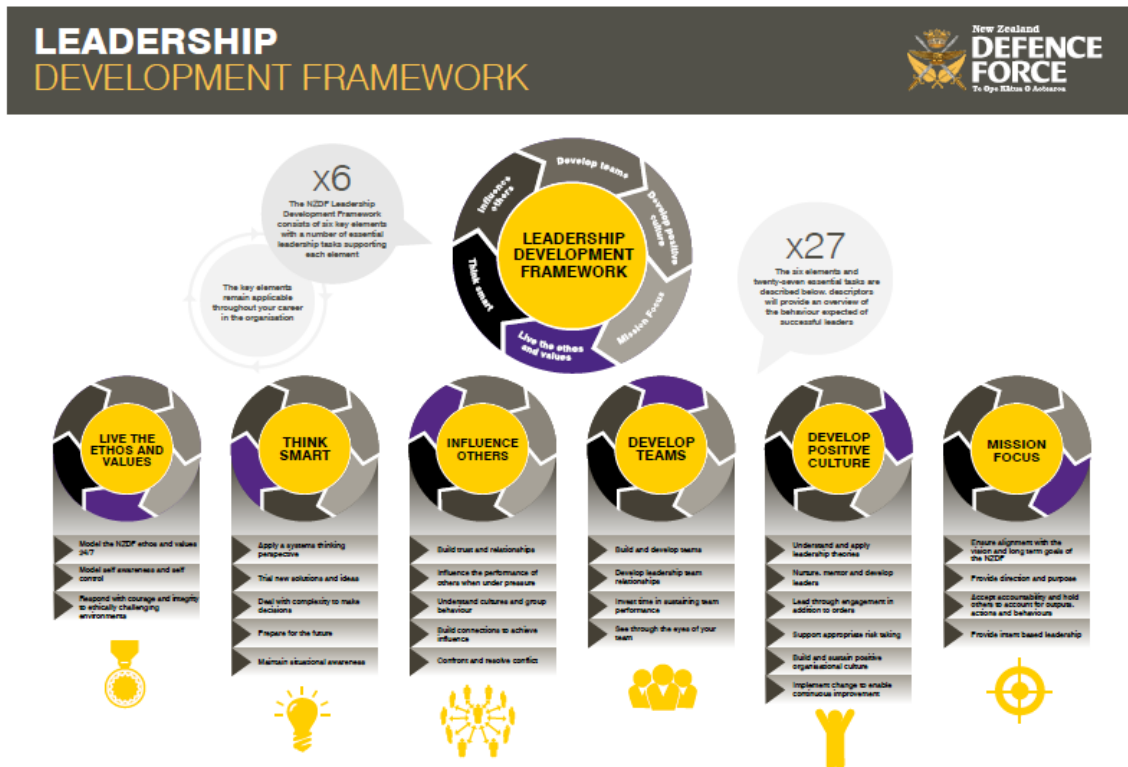


Figure 2. New Zealand Defence Force Leadership Development Framework

Source: Institute for Leader Development, *Leadership Development Systems—Lead Leaders Development Guide*, Version 2015.01 (Wellington, New Zealand: New Zealand Defence Force, 2015), 8.

Leadership Development Model. Figure 3 provides the seven phases to the leadership development model. Lead Self provides the initial transition from civilian to soldier, and is conducted as part of the individual services (Army, Air Force, Navy) courses. Next is Lead Teams where the focus lies on leading small groups. Again for this phase the training is part of single service development courses. At the Lead Leaders level the leadership development system begins to incorporate junior officers. After this, the leadership focus changes from people to Lead Systems. This course is done at the transition from Captain to Major (Lieutenant to Lieutenant Commander for the Royal



New Zealand Navy, and Flight Lieutenant to Squadron Leader for Royal New Zealand Air Force). Following Lead Systems, the next courses are Lead Capability that is done at the Major to Lieutenant Colonel transition, Lead Integrated Capability and then Lead Organisation. Lead Integrated Capability and Lead Organisation are both senior leadership courses for Colonel and above.<sup>10</sup>

The different leadership levels within the NZDF come complete with associated developmental requirements which set the conditions for success at the different ranks. These developmental requirements include elements of both human and social capital, and are described in developmental guides that are issued to leaders as they conduct the transition to the next level. As an example, the leadership level linked to the rank range of this research is Lead Leaders. In overview, this identifies that leaders at this level must form strong relationships with their own leaders, their peers, and their subordinates, and understand their part in a higher plan or strategy. Clearly this emphasis on forging relationships aligns with the determined definition of leadership development. The leader development component is not defined as part of the Leadership Development Model, and is captured elsewhere, under the guise of Military Professionalism as part of the Officer Competency Framework.<sup>11</sup>

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<sup>10</sup> Institute for Leader Development, *Leadership Development Systems–Lead Leaders Development Guide*.

<sup>11</sup> New Zealand Defence Force, *NZDF Competency Framework (Commissioned) for the Performance and Development Report* (Wellington, New Zealand: New Zealand Defence Force, 2014), 1.

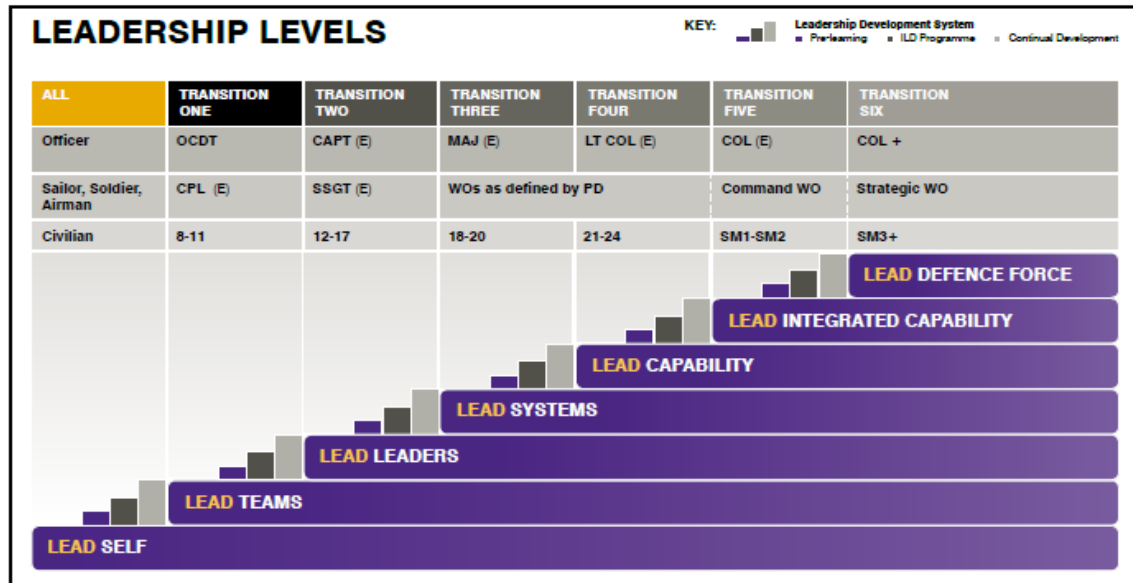


Figure 3. New Zealand Army Leadership Levels

Source: Institute for Leader Development, *Leadership Development Systems–Lead Leaders Development Guide*, Version 2015.01 (Wellington, New Zealand: New Zealand Defence Force, 2015), 7.

The Institute for Leadership Development model describes the three components of each phase; (1) orientate, (2) build, and (3) advance (see figure 4). The model also details the required supporting activities necessary to support development. These factors are: coaching and mentoring, and guided experimentation on the job. These are carried out by a combination of self-development, and supervisor-manager supported development.

# LEADERSHIP DEVELOPMENT SYSTEM

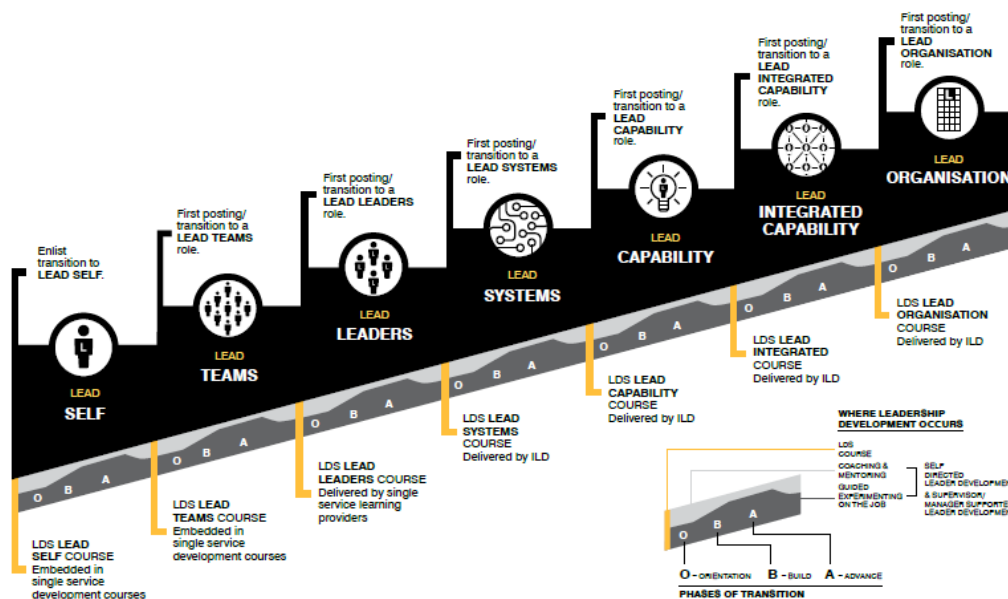



Figure 4. New Zealand Defence Force Leadership Development System

Source: Institute for Leader Development, *Leadership Development Systems–Lead Leaders Development Guide*, Version 2015.01 (Wellington, New Zealand: New Zealand Defence Force, 2015), 1.

Any suggested leadership development models which may occur as a result of this research should be designed to align with the pre-existing leadership development models. Such alignment would ensure that junior officer leadership development is nested within the higher intent. Use of this system as a template for future development models would also have the added benefit of providing a structure for the self-development, and supervisor-manager supported development which was discussed as part of the Leadership Development System.

Officer Competencies. There is further detail regarding expected competency by rank, for each of the essential tasks listed in the Leadership Development Framework (figure 4). The requirements for each rank are specified, and a clear progression is shown for each rank advancement. Six of the competencies are constant from Officer Cadet through to General Officer level, and, the first three additions which are made from Officer Cadet to Second Lieutenant are personal communication, performance management, and military professionalism. Figure 5 highlights the competency framework and the progression by rank. The categorization shown in figure 5 aligns the competencies with the leader-leadership development model. The six elements from the Leadership Development Framework are clearly leadership development factors, and the other three are leader development factors.

Professional Expertise				
				Resource Management
		Personal Communication	Personal Communication	Personal Communication
		Performance Management	Performance Management	Performance Management
		Military Professionalism	Military Professionalism	Military Professionalism
Leadership	Mission Focus	Mission Focus	Mission Focus	Mission Focus
	Develop Positive Culture	Develop Positive Culture	Develop Positive Culture	Develop Positive Culture
	Develop Teams	Develop Teams	Develop Teams	Develop Teams
	Influence Others	Influence Others	Influence Others	Influence Others
	Think Smart	Think Smart	Think Smart	Think Smart
Live the Ethos and Values	Live the Ethos and Values	Live the Ethos and Values	Live the Ethos and Values	Live the Ethos and Values
	OCOT (E)	2LT (E)	LT (E)	CAPT (E)

Figure 5. New Zealand Defence Force Competency Framework (Commissioned), Officer Cadet to Captain

*Source: New Zealand Defence Force, NZDF Competency Framework (Commissioned) for the Performance and Development Report (Wellington, New Zealand: New Zealand Defence Force, 2014), 1.*

In overall review of the New Zealand model, there is a comprehensive model for development all the way from Officer Cadet through to General Officer level, with a series of quantifiable competencies associated with each progression. There are also a series of Army courses that provide further professional development and training. New Zealand Army Officer Cadets undergo a two-year post commissioning training scheme

that helps to give them the tools to succeed in their first command, with the structure and content of the second year being the responsibility of the Commanding Officers. As already noted, this is a key factor in validating this research project, as despite there being a clear responsibility for Commanding Officers to provide leadership development training for their junior officers, there is a lack of formal guidance to what that should entail. From the perspective of the Primary Research Question, “How can the New Zealand Army improve the leadership development of junior officers?” this observation highlights a key gap in the existing leadership development model.

Having now reviewed the existing New Zealand doctrine, it is necessary to conduct a similar review of the leadership and training doctrine of the other armies identified in chapter 1. This review will start with a consideration of the leadership and training doctrine of the United States (US) Army.

### The US Army Model

The US Army is a far larger and more complex military force than the New Zealand Army; however, there are a variety of lessons that can be identified through a review of the US Army leadership doctrine. This part of the literature review considers the US Army’s officer development model and responsibilities, and junior officer courses. It will also cover the over-arching leadership expectations of all US Army personnel, as dictated by the Leadership Requirements Model (LRM), and the means by which assessment of said leadership is carried out.

Leader Development Strategy. The US Army Leader Development Strategy defines the development of leaders as an on-going process that continually builds on previously acquired knowledge, to create professional leaders of character. Development

is carried out in three areas; training, education, and experience, with growth achieved in each through the institutional, operational and self-development realms. Development is supported through mentoring, a focus on the principle of mission command, and an emphasis on both critical and creative thinking.

Phases of Officer Development. There are five phases to officer development within the US Army. The first phase is pre-commissioning-pre-appointment and deals with the military education received at institutions such as West Point, or through a Reserve Officers' Training Corps scheme. Phase two is Primary and captures the education and development received from the ranks of Second Lieutenant to Captain (O-1 through O-3). The third phase, Intermediate, is for the rank of Major (O-4), and the Senior phase is for Lieutenant Colonel to Colonel (O-5 to O-6). The final phase is for General-Flag Officers.

As mentioned previously, there are three developmental realms in US Army doctrine; institutional, operational, and self. Institutional development is the first step in officer development and forms the basis of subsequent development by ensuring that junior officers have the knowledge necessary for them to perform a leadership role in the operational US Army. Following their initial institutional experiences, junior officers are assigned to operational roles where they can gain experience and put into practice the theoretical lessons they learned during the institutional phase. At this early stage in the junior officer's development, the unit commander plays an important role. The commander is responsible for coaching, counseling, and mentoring the junior officers under their command, establishing the performance standards they expect, and providing both mentoring, feedback, and assessment.

At this point it is important to highlight the US Army's philosophy of Mission Command. There are six principles of Mission Command: build cohesive teams through mutual trust, create shared understanding, provide a clear commander's intent, exercise disciplined initiative, use mission orders, and accept prudent risk. The principles most relevant to this research are mutual trust, disciplined initiative, and prudent risk. If the relationship between commander and junior officer does not have mutual trust, then it becomes difficult for the junior officer to use initiative. Likewise, if a commander does not accept risk, then the junior officer will never have the space to grow and develop. This underlines the importance of a fully-involved chain of command, which is supportive of junior officer development and is willing to underwrite the necessary risk to allow development to occur.

Officer Training Responsibilities. Responsibility for training at all rank levels, including junior officer, is devolved primarily from Brigade level to Battalion and Company level. At Brigade level, the Brigade Commander provides training guidance and sets training and performance objectives. The Brigade Commander must also ensure that sufficient time and resources are allocated, and that evaluation is conducted correctly. Battalion Commanders are the primary training managers and turn the guidance of the Brigade Commander into a quantifiable training plan. Company Commanders are the primary trainers for junior officers, and assist the Battalion Commanders with the development of training programs, along with the actual execution of said training.

Self-Development. Self-development is ongoing throughout an officer's career and focuses on the junior officer being sufficiently self-aware to identify their deficiencies. Although this has a focus on the individual, it is important that the



commander knows the strengths and weaknesses of the junior officer, so that they can offer feedback and guidance. This development is enhanced by the use of the Multi-Source Assessment and Feedback; which is a form of 360-degree assessment that helps officers gain greater self-awareness.

Company-level development is the critical component of junior officer professional development, and in the US Army the view is that “leading soldiers is the essence of leadership development at this stage of an officer’s career.”<sup>12</sup>

Basic Officer Leadership Course (BOLC). The US Army junior officer leadership training is encapsulated in the BOLC, which consists of parts A and B. BOLC A is conducted prior to commissioning, and focuses on generic officer skills such as displaying the US Army ethos, appropriate levels of self-confidence and physical fitness, and being an expert at field craft. Following completion of BOLC A officers conduct BOLC B, which is carried out at trade-specific or branch technical schools. BOLC B is a mandatory course, which should be completed as soon after commissioning as possible, but within 42 months at the latest. BOLC B develops the junior officer’s trade-specific skills and qualifications whilst maintaining and developing their previously taught generic skills. A summary of the BOLC model is shown in figure 6.

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<sup>12</sup> Department of the Army, Department of the Army (DA) Pamphlet 600-3, *Commissioned Officer Professional Development and Career Management* (Washington, DC: Government Printing Office, 2014), 15.

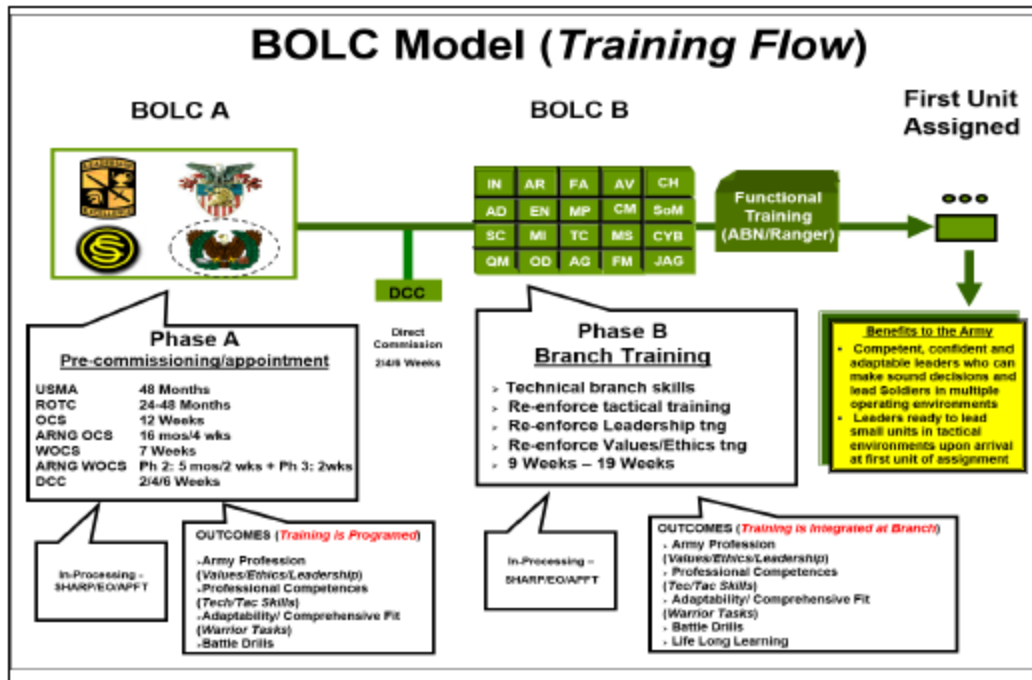


Figure 6. Basic Officer Leadership Course Model

Source: Department of the Army, TRADOC Regulation 350-36, *Basic Officer Leader Training Policies and Administration* (Fort Eustis, VA: Government Printing Office, 2015), 8.

As highlighted previously, the institutional development conducted during the BOLC course continuum must be supplemented by operational and self-development, if junior officers are to develop correctly. For operational development, the onus lies with the commander to set the conditions for development to occur. To assist with this, the US Army developed its LRM which consists of attributes and competencies, and is linked together by a series of expected characteristics for each. The original US Army LRM is shown in figure 7, with an updated design shown in figure 8.

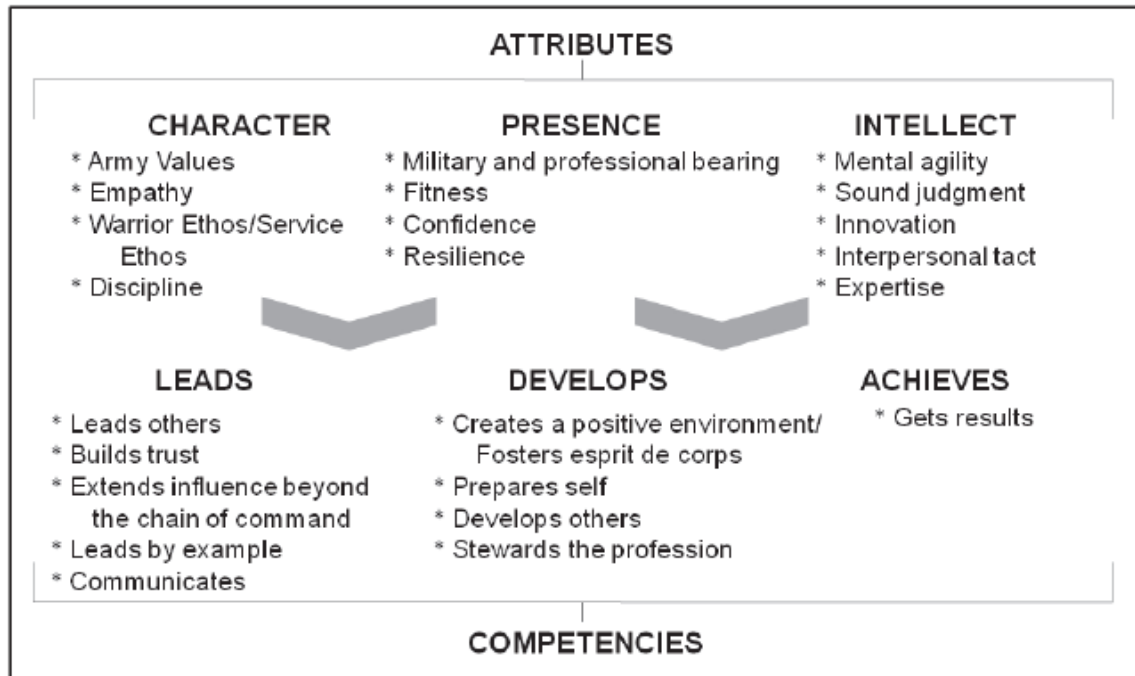


Figure 7. US Army Leadership Requirements Model

*Source:* Department of the Army, Army Doctrine Reference Publication (ADRP) 6-22, *Army Leadership* (Washington, DC: Government Printing Office, 2012), 1-5.

Army Leadership Requirements. The characteristics of each attribute and competency can be seen in figure 7. As shown, attributes required of leaders consists of character, presence and intellect. Under each are a series of sub-attributes that reinforce the primary attribute. The sub-attributes of character are: Army Values,<sup>13</sup> empathy, warrior ethos-service ethos, and discipline. There are four sub-attributes under presence: military and professional bearing, fitness, confidence, and resilience. The final attribute is Intellect, and tellingly it as the largest number of sub-attributes, with five. These

<sup>13</sup> US Army Values: Loyalty, Duty, Respect, Selfless-Service, Honor, Integrity, Personal Courage. Often, the acronym LDRSHIP is used to recall the seven parts.

attributes are mental agility, sound judgment, innovation, interpersonal tact, and expertise. Within the scope of this research, the attribute of greatest interest is intellect as the researcher is of the opinion that the qualities associated with this are among the most difficult to instill and to assess.

These attributes all combine to feed into the leader competencies of leads, develops, and achieves. As with the attributes, there are characteristics which define expectations. For the leads competency, the essential skills are the ability to lead others through strong communication skills and through setting the right example. There is an expectation that leaders will build trust within the organization, and extend their influence beyond their immediate chain of command. For develops, a leader should create a positive environment that generates *esprit de corps*. There is also a focus on self-development and the development of others, as well as stewarding the profession. From the last competency, achieves, the output is get results. This competency makes sense, as, like all militaries, the US Army needs to be goal-orientated and focused on the achievement of the mission. This is the most important competency, but should be considered in conjunction with all of the other attributes and competencies. Getting results is the accumulation and integration of all of the other aspects of the model in a way that creates unified action.

One of the risks associated with this model is that it forces commanders at all levels to be results-driven. To integrate the operational component of leadership development, this emphasis on results has to be tempered against a realization that in order to learn, sometimes it will be necessary to allow failure. This again links to the

philosophy of mission command and reinforces the necessity of unity of command in the acceptance of risk.

The US Army LRM can be viewed as a circular model, with each attribute and competency forming a sector of the whole. This model reinforces the relationship between the attributes and competencies and emphasizes the necessity of resourcing all parts of leader development to develop well-rounded leaders (see figure 8). Within this more recent version of the LRM, the competency of Achieves is expanded upon. In addition to the sub-competency gets results, there are the following additional sub-competencies: integrates tasks, roles, resources, and priorities; improves performance; gives feedback; executes; adjusts. This is an improvement from the LRM shown in figure 7 as it gives great clarity around expectations for this competency.

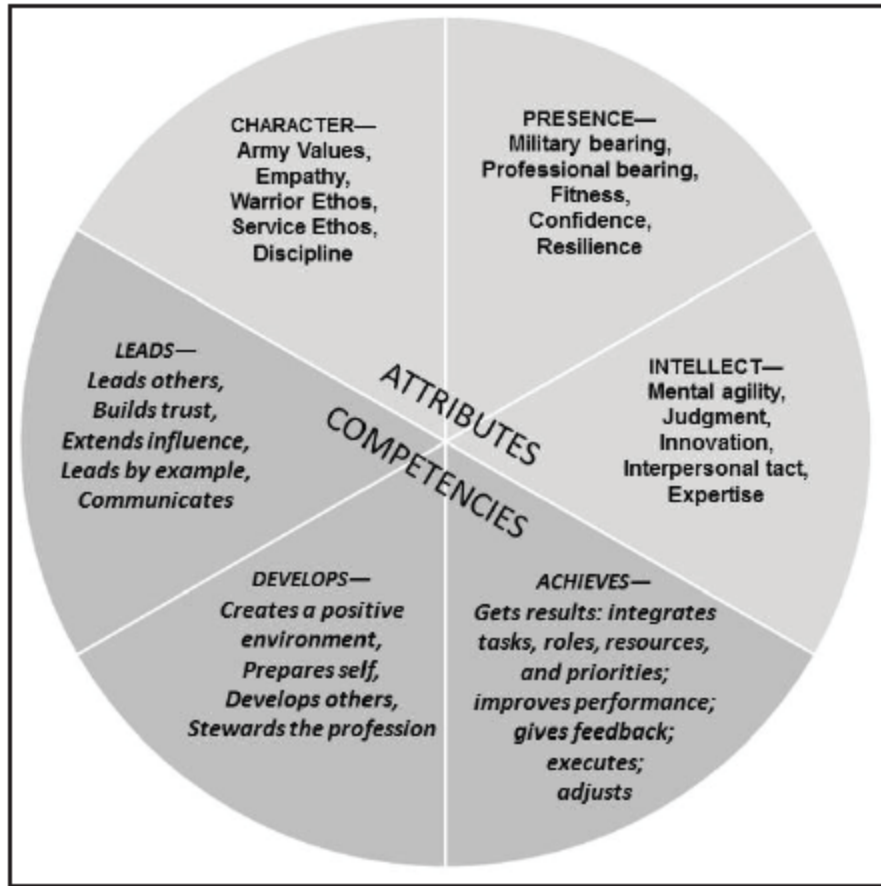


Figure 8. US Army Leadership Attributes and Competencies

Source: Department of the Army, Field Manual (FM) 6-22, *Leader Development* (Washington, DC: Government Printing Office, 2015), 1-4.

Principles of Leader Development. Now that the background of US Army leadership has been given and the leadership models explained, focus can be paid to the fundamentals of development and how performance is assessed. The US Army model has four tenets of leader development, which provide the basis for commanders to tailor programs for their subordinates. The four principles are: (1) Setting Conditions, (2) Provide Feedback, (3) Enhancing Learning, and (4) Creating Opportunities. In a similar manner to that of the Leadership model, the principles of Leadership Development can be

viewed as a circular model, as depicted in figure 9. Providing feedback, enhancing learning and creating opportunities form three equal parts of a whole, with setting conditions being the all-encompassing product of the other three elements.

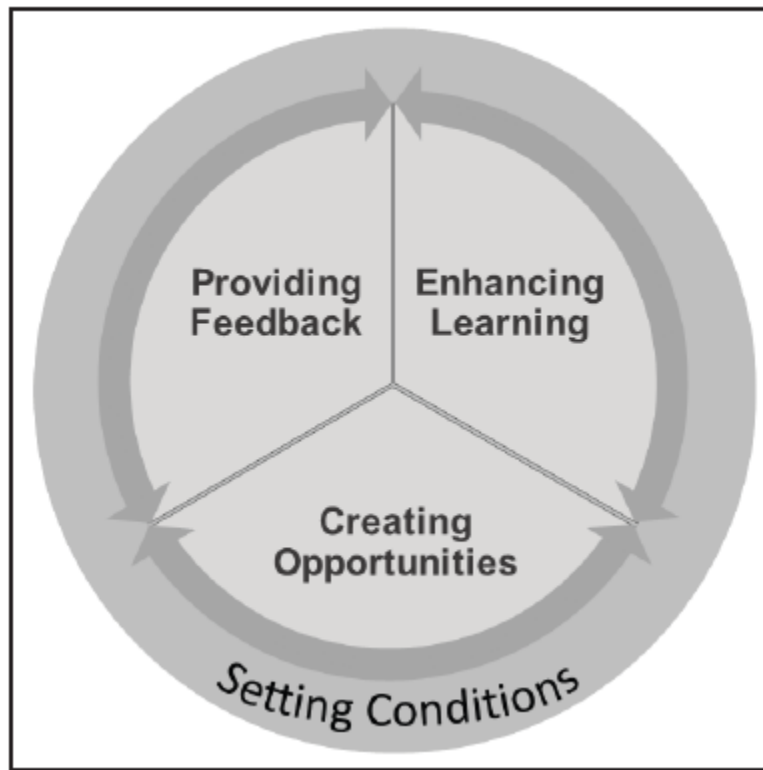


Figure 9. US Army Fundamentals of Leader Development<sup>14</sup>

*Source:* Department of the Army, Field Manual (FM) 6-22, *Leader Development* (Washington, DC: Government Printing Office, 2015), 3-2.

All of the principles shown in figure 9 and table 1 highlight the necessity of engagement by superiors, if junior officers are to be developed appropriately. To set

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<sup>14</sup> Ibid., 3-2.

conditions for development a commander must establish a culture where the junior officer has space to grow and a relatively benign environment in which to do so. This means that a commander must be willing to accept risk with some of the tasks that a junior officer receives; without being allowed to fail catastrophically has its own risk, there is little opportunity for challenging experiences to be meaningful without that threat. The conduct of feedback is an integral part of this development model and there is a formal system detailed in FM 6-22, *Leader Development*, that provides an example of what right looks like, along with examples of poor and strong characteristics.

Table 1. US Army Fundamentals of Leader Development and Associated Requirements

<b>Principle</b>	<b>Requirements</b>
Setting Conditions	Establish positive culture Allocate and protect time for development Reward professional development Encourage initiative and reasonable risk Gain knowledge of subordinates (unique skills, abilities, background, goals)
Provide Feedback	Learn to observe and provide feedback
Enhance Learning	Provide role models Mentorship Guided discovery Coaching Encourage study
Creating Opportunities	Challenging experiences Leader selection Leader succession Develop mission command philosophy Integrate development into daily events

*Source:* Created by author.



The US Army model for leadership development provides options for how these competencies can be improved; these options are designed using a feedback-study-practice model. The developmental step for feedback focuses on self-development and relates to the individual receiving guidance as to how to focus their developmental efforts to best effect. As has been a common theme in the analysis of the existing doctrine, there is a necessity for the relationship between junior officer and commander being one with mutual trust. Study is another self-led activity, but one that benefits from commander's guidance. Again, this emphasizes the requirement for the commander to know the junior officer, but also for the individuals to know themselves and to be aware of their own strengths and deficiencies. Finally, the application of developmental activities falls under the auspices of practice which relates to the individual being given the opportunity to conduct learning activities. figure 10 provides examples of this model.

Table 2. US Army Leadership Development Implementation Table

<i>Developmental Step</i>	<i>Options to take</i>	<i>Method</i>
<b>Feedback</b>	Ask for feedback...	From others about how you are doing with specific issues and areas of performance.
	Gain support...	From peers, colleagues, friends, or other people who can provide encouragement or recognize success.
	Consult...	With friends, supervisors, peers, subordinates, coaches, mentors, or other professionals to give advice on strengths or areas of concern.
<b>Study</b>	Observe...	Other leaders, professionals, and similar organizations. Note the most or least effective behaviors, attributes, and attitudes.
	Make time to reflect on...	Personal or situational characteristics that relate to the strength or need. Consider alternative perspectives.
	Read...	Books, articles, manuals, and professional publications.
	Investigate...	A topic through internet or library searches, gathering or asking questions, and soliciting information and materials.
<b>Practice</b>	Practice...	A skill or behavior that needs improvement in a work situation or away from the unit.
	Participate in training...	Including Army schools, unit training programs, outside seminars, degree programs, and professional certifications.
	Teach...	A skill you are learning to someone else.
	Accept an opportunity...	That stretches personal abilities, such as giving presentations, teaching classes, volunteering for special duty assignments, position cross-training, and representing the unit at meetings.
	Explore off-duty events...	Such as leading community groups, trying a new skill in a volunteer organization, or presenting to schools and civic organizations.

Source: Department of the Army, Field Manual (FM) 6-22, *Leader Development* (Washington, DC: Government Printing Office, 2015), 7-2.

The US Army model leadership doctrine is a complex and detailed model that provides some extremely useful information. Formal junior officer training takes the form of the BOLC course continuum, and the characteristics of leaders at all levels is defined by the Leader Requirements Model. There is a focus on formal development and an emphasis on the achieves results competency, which may conflict with the principles of mission command and the overall achievement of leadership development in the broadest sense. There are a series of formal evaluation criteria for each of the leadership competencies and the provision of potential development options for use by both the individual and the commander.

### The British Army Model

In the British Army Officer Career Development Handbook, career development is divided into three distinct career stages. Stage One covers the rank of Officer Cadet to Captain, Stage Two covers the ranks of Major and Lieutenant Colonel, and Stage Three is the rank of Colonel and above. The Officer Career Development model balances training, individual education and organizational needs within a framework that improves the effectiveness of officers throughout their career.

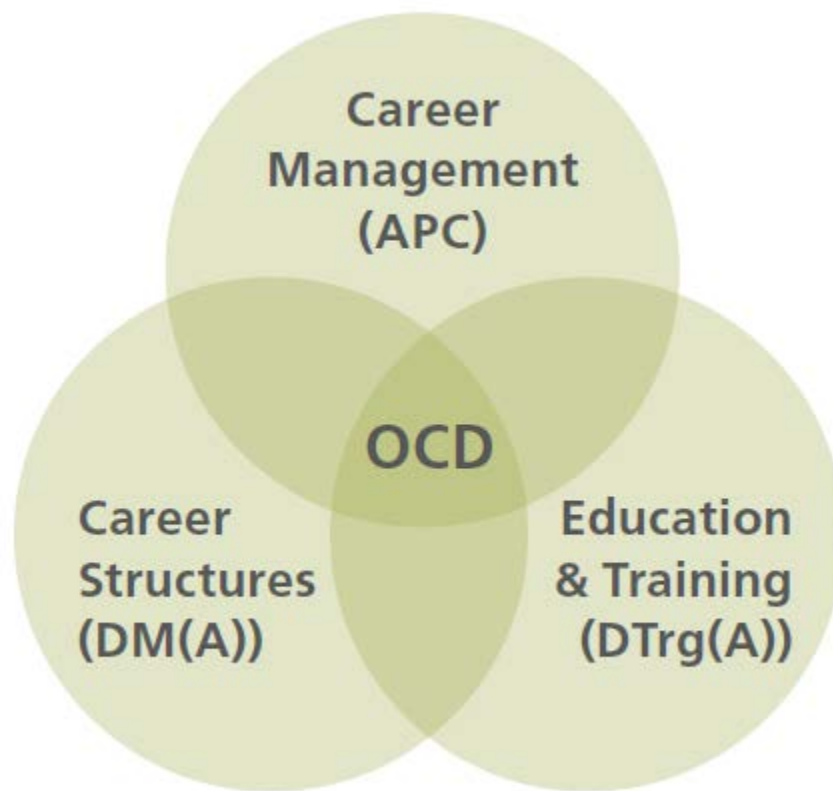


Figure 10. Officer Career Development Model, British Army

*Source:* Ministry of Defense, *The Officer Career Development Handbook* (Surrey: Crown Copyright, 2014), 1-1.

The Officer Career Development Handbook highlights several definitions, these relate to education, training, personal development and professional development.

Within the context of a military career, education deals with the development of broad-based general knowledge, military attitudes, and intellectual capacity. To support the Officer Career Development model, appropriate education is provided at the start of each Career Stage (Officer Cadet, Major, and Colonel), thus setting conditions for personnel to offer optimum performance at their respective career stages. Military training is the acquisition of skills and knowledge relating to an officers' particular role or specialization and is tailored to support the requirements therein.

Regarding professional development versus personal development, the former is competency-based, and focus on knowledge, behaviors, and skills, which deliver a particular ability relevant to the performance of a specific role or future role. Professional development includes training, education, experience and guidance and is based on the needs of the employer or organization. Personal development can be directly achieved through professional development but is not viewed as a requirement or specific purpose.

Personal development differs in that it does not directly link to an employer or organizational requirement. Personal development is focused on the needs of the individual and seeks to create personal growth that will give new competencies and expand an individual's ability overall. Personal development may very well enhance an individual's ability to perform a particular role, but it is a consequence, rather than a required output.

In the British Army, the training and education continuum is underpinned by three principles. These are; individual ownership, chain of command responsibility, and timeliness and accuracy.

From the model shown below (figure 12), it can be seen that there is an Officer Leadership Development Programme that runs throughout the entirety of the career and training continuum. Within the leadership program, the Junior Officer Leadership Programme (JOLP) deals with the career period relevant to this research.

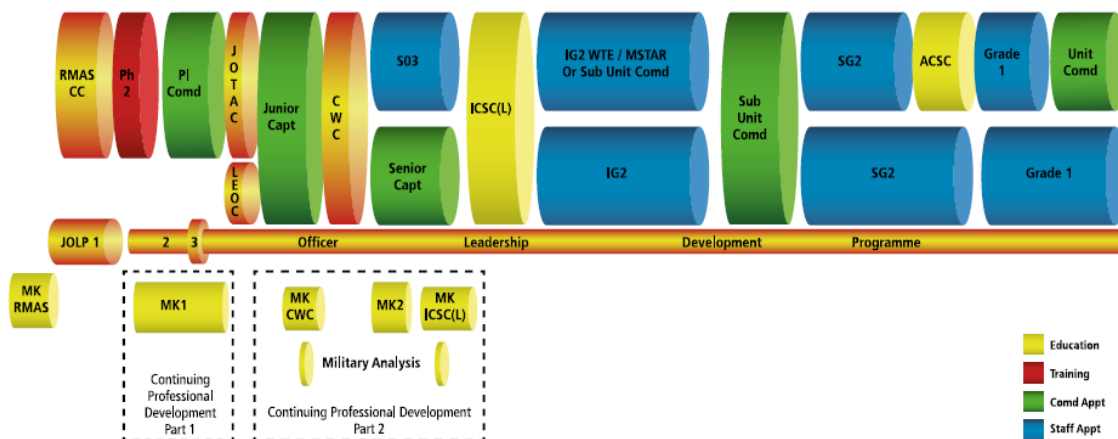


Figure 11. The Officer Career and Training Progression, British Army

Source: Ministry of Defense, *The Officer Career Development Handbook* (Surrey: Crown Copyright, 2014), 3-2.

The JOLP forms the core for leadership development from the rank of Officer Cadet to Lieutenant and is separated into three parts. JOLP 1 is conducted as part of the Commissioning Course and creates opportunities for Officer Cadets to develop their leadership through challenging leadership roles, role modeling, and feedback. JOLP 2 relates to leadership development during an officer's first posting post-commissioning,

and is referred to as Regimental Duty (or RD). JOLP 2 content is the responsibility of Commanding Officers and should provide leadership opportunities along with feedback and mentoring.

Commanders are required to submit a certificate of completion to the career management branch as proof that the junior officer has met the standard, and that leadership development was conducted promptly. A certificate of completion is required before progression to JOLP 3. JOLP 3 is a five-day residential course run by Army Education Centers and uses group discussion and case studies to examine relevant leadership challenges and to introduce leadership theory in greater detail. JOLP 3 serves to assess junior officer leadership skills, written and oral communication, and ability to apply different leadership techniques. Assessment is done via staff work and oral briefings, with a view to developing skills appropriate for future command and staff appointments. All junior officers must complete JOLP 2 and JOLP 3 within their first 24 months post-commissioning, and completion is a prerequisite for attendance on the Junior Officer Tactical Awareness Course, which is itself, a requirement for promotion to Captain.

Concurrent to the JOLP, junior officers within the British Army are also required to complete an online military-knowledge course, the Junior Officer Tactical Awareness Course (known as MK JOTAC). MK JOTAC is a distance learning course that provides additional professional knowledge appropriate for Lieutenants and junior Captains. The course is split into six modules, and four of the six have built-in, online exams as part of the requirement. Topics include Battlegroup Capabilities, Command and Training, and Operations.

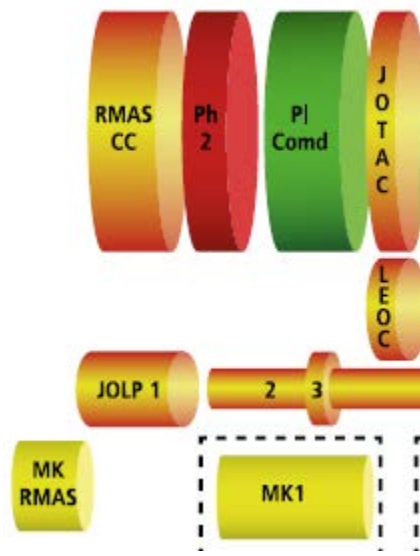


Figure 12. Extract from Officer Career and Training Progression, British Army

Source: Ministry of Defense, *The Officer Career Development Handbook* (Surrey: Crown Copyright, 2014), 3-2.

British Army Leadership Doctrine. British doctrine also identifies a number of challenges in terms of leadership development. Firstly, it identifies that leadership is challenging to “teach” in the fundamental sense. Individuals can be lectured to, and given books to read, but ultimately, theory and process merely establishes a basic understanding. This understanding then sets the conditions for real leadership development to occur. For leadership to develop properly experiential learning is required and theory must be put into practice. The British Army identifies that this practical leadership development can occur in a variety of different ways, and is not just limited to the classroom or the workplace. Development can also take place in the field, through participation in sport, and by conducting adventurous training. It is worthy of note that

the British Army places such emphasis on adventurous training that there is an Adventurous Training Group (Army) that is responsible for the facilitation of such activities.

Continuing from the previous paragraph, experiential learning is essential for leadership development. Thus, it is important for leaders being developed to take the experience they have gained and turn it into knowledge. British Army doctrine details how the process of leadership development can be facilitated, through both personal commitment on behalf of those being developed, and those conducting the development. From the perspective of junior officer leadership development the individual must be motivated to develop as a leader, and have buy-in for the process. From the perspective of the chain of command, or those within the institutional realm responsible for development, the emphasis is placed upon explaining the process of development and how best to turn experiences into learning. The British Army has four fundamentals of leadership development:<sup>15</sup> Set the Right Conditions, Provide Constructive Feedback, Enhance Learning, and Create Opportunities. The superiors of those being developed are also responsible for ensuring that the establishment of a culture that promotes development sets the right conditions. This includes leading by example to inspire trust and confidence, having a detailed understanding of subordinates to maximize talent and challenge appropriately, and creating an environment where learning is valued, innovation is encouraged, and an acceptable level of risk is accepted. Feedback must be

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<sup>15</sup> Ministry of Defense, *Army Leadership Doctrine* (Surrey: Crown Copyright, 2016), 75.



provided, and this is achieved through a cycle of “Observe–Assess–Ask–Deliver–Confirm–Recommend–Record.”<sup>16</sup>

Observation should be frequent and vary between casual observation and specific scrutiny of performance around key events. This should be done in context and provide a well-rounded view on the abilities of the individual in question. Assessment follows observations, and can be achieved using a prescribed framework such as values and standards, or another set of predetermined criteria. To be fair, it is important that the subordinate knows and understands the criteria that they are being assessed against. After assessment has been carried out, the subordinates should be asked to review their own performance. This encourages self-development and promotes a sense of ownership.

The delivery of feedback is highlighted as the most important step in the leader development cycle, and is structured around four main factors: Frequent and Short (feedback should be given often and feedback should be concise and easy to understand); Focused (feedback should be limited to the observed activity); Critical (feedback should identify areas of weakness to generate culture of continuous improvement); and Reinforcing (strengths should also be highlighted to encourage further improvement, feedback should ideally end on a high).

Once feedback is complete, the subordinate should be questioned to confirm understanding. At this point in the process (Recommend), the superior and subordinate must develop a plan for future development, which is recorded along with the rest of the feedback process. In addition to the provision of feedback, superiors should seek ways to

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<sup>16</sup> Ibid., 75-78.

enhance learning. Methods such as the development of study and coaching skills, as well as encouraging self-awareness and the use of a range of learning-techniques. The last British Army fundamental of leadership development is Creates Opportunities. In simple terms, this tenet explains that subordinates must be given opportunities to develop, using the criteria listed below. Activities should be: Understood (what they opportunity is and what is expected), Imaginative (interesting and exciting opportunities will generate more motivation), Realistic (opportunities within the capabilities of the subordinate and akin to challenges they might face in the future), and Challenging (offering room for growth and opportunity for high performing individuals to shine).

As this doctrine was released in 2016, the researcher was unable to ascertain the links (if any) between this and existing junior officer leadership development requirements. If not established already, the logical next step would be for this doctrine to link to the developmental requirements required as part of JOLP 2.

The British Army Leadership Code. The British Army Leadership Code is a new concept which was published in 2016 in the document “The Army Leadership Code: An Introductory Guide.”<sup>17</sup> The code consists of seven leadership behaviors listed using the acronym L-E-A-D-E-R-S, which stands for (1) Lead by Example, (2) Encourage Thinking, (3) Apply Reward and Discipline, (4) Demand High Performance, (5) Encourage Confidence in the Team, (6) Recognise Individual Strengths and Weaknesses, and (7) Strive for Team Goals. These seven behaviors are drawn from academic leadership theory and are based upon the principles of both Transformational

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<sup>17</sup> Ministry of Defense, *The Army Leadership Code: An Introductory Guide* (Surrey: Crown Copyright, 2016).

(also called Inspirational) and Transactional (also known as Directive) leadership theory.<sup>18</sup> These leadership behaviors are linked to each of the British Army's Core Values,<sup>19</sup> which further cements their importance into existing doctrine.

Guidance is provided as to how each element of the code links to a Core Value, as follows. Lead by Example states that all leader must be willing to set the example in all things that they do. This is key to authenticity, inspires the commitment of others and promotes integrity. Encourage Thinking links to the concept of mission command, and innovation. Through the encouragement of individual thought, a leader generates loyalty and demonstrates their respect for those they command. Through the ability to Apply Reward and Discipline, a leader demonstrates loyalty and integrity, as well as optimizing performance through motivation. To Demand High Performance is a critical requirement for a military leader. Leader have to be able to motivate their personnel and communicate realistic goals and expectations. This in turn promotes loyalty and commitment.

A leader must Encourage Confidence in the Team through inspirational leadership by deed and word, as well as through motivation. Loyalty to the chain of command as well as peers and subordinates promotes further loyalty, encourages initiative and facilitates mission command. Through the ability to Recognise Individual Strengths and Weaknesses, a leader identifies and acknowledges strengths that can be utilized and how an individual can be appropriately challenged, as well as areas where development is required to mitigate shortfalls. This leadership behavior can be linked both to the idea of

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<sup>18</sup> Ibid., 13.

<sup>19</sup> British Army Core Values: Courage, Discipline, Respect for Others, Integrity, Loyalty, Selfless Commitment (C-DRILS).

coaching and mentoring, as well as demonstrating loyalty and respect. Lastly, Strive for Team Goals refers to the importance of team spirit. A leader who can provide shared goals will create an environment of high-performance, build unity, and develop loyalty and commitment.

British Army Adventurous Training. A unique aspect of the British Army leadership development model that is worthy of note is the use of adventurous training as a medium for growth. To quote Lieutenant General Sir James Everard “Not every Army promotes Adventurous Training (AT) as an integral part of military training in the way the British Army does. Their loss, our gain; because we know that conducted properly, AT offers mental challenge and develops leadership, teamwork, communication . . . and moral and physical courage.”<sup>20</sup> Adventurous Training facilitates leadership development at the junior officer level by providing a non-operational challenging opportunity that should enhance communication and organizational skills, as well as an understanding of the management of risk.

Conclusions on British Army Doctrine. Overall, the British model for junior officer development within career stage one (Officer Cadet to Captain) provides a combination of leadership development, military education, and practical experience. The model is designed to improve junior officer employability overall, and the courses are ultimately linked to career progression and promotion.

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<sup>20</sup> LTG Sir James Everard, Foreword to *Adventurous Training Group (Army) Aide Memoire 2016* (Creative Media, 2016), 3.

## The Canadian Army Model

The Canadian Army's Officer Professional Development Model is governed by the Canadian Armed Forces Officer General Specifications. These specifications form a foundation standard for performance and are universal in nature. With each rank progression, the Officer General Specifications increase, and as such, they form a model for development. There are five Developmental Periods (DPs). DP 1 is for Officer Cadet to Second Lieutenant, DP 2 is for the rank of Lieutenant to Captain, DP 3 is for Major to Lieutenant Colonel to Colonel, DP 4 is for Colonel, and DP 5 is for General Officers.

At this time, the Canadian Armed Forces do not have any specific doctrine that relates to leadership or leadership development.

## Conclusion

All doctrine reviewed in this chapter highlights a number of similarities between all of the armies, and how they develop their junior leaders. There are some difference in scope and complexity (primarily between the US Army and all of the others), but that is a by-product of the size and complexity of the US Army itself. There is evidence to suggest that there is a lack of guidance for Commanding Officers across all of the armies, less the British Army, and this fact will be important when compared against the feedback gained from senior officers via survey results. Another key point is the importance placed on understanding the needs of the individual. This is an important part of junior officer leadership development, and development in general, as it allows the differing needs of individuals to be considered and developmental plans to be tailored accordingly. The method of feedback is also important, and the literature review highlighted the importance of developmental plans that incorporate both formal and informal feedback.

A final important point relates to the balance of success versus development. In the US Army model, the key competency is achievement of results, and this is obviously important in any result-driven organization. However, there is an important balance to be struck between the requirements for junior officers to be successful, against the need to allow them to have developmental experience, thus entailing some risk of failure. In accordance with the principles of mission command, there is a requirement for commanders to assume some prudent risk, which creates opportunities for the use of initiative by subordinates. In terms of junior officer leadership development, this requirement to assume risk brings additional benefits by creating learning opportunities.

## CHAPTER 3

### RESEARCH METHODOLOGY

The research methodology used within this study is described in this chapter. Additionally this chapter will also summarize the means of data collection and analysis, the measures taken to ensure the confidentiality of survey participants, and a summary. The research in this study is conducted primarily through qualitative research, with a small component of quantitative research as part of the survey collection. An explanation of the theoretical basis of each method will be described.

#### Qualitative Research

Within the field of education, qualitative research can consist of research including such methods as: comparisons between alternative methods of instruction (experimental research), comparing groups of individuals and their differences (causal-comparative research), or interviewing those responsible for education or development (survey research). All of these approaches fall under the auspices of qualitative research, and there are some characteristics which are generally attributable to all research studies using this method.<sup>21</sup>

Qualitative data is collected in the form of words and pictures rather than numbers. The majority of the data for this study fits within this description; except for the quantitative analysis conducted by means of numeric value based questions as part of the

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<sup>21</sup> Jack R. Frankel and Norman E. Wallen, *How to Design and Evaluate Research in Education*, 6th ed. (New York: McGraw-Hill, 2006), 431.

survey, all of the remaining information is extracted from doctrine and from free text responses to questions.

Qualitative researchers are concerned with process as well as product. This premise is a key part of the research concept, as this study focusses on process, less than it does product. The attitudes and actions of the different armies researched in this study provides insight into how the doctrine and processes subsequently develop.

Qualitative researchers tend to analyze their data inductively. As this principle suggests, the researcher as not formulated a hypothesis beforehand. This research focusses more on building a picture and reviewing the existing parts, before any conclusions are drawn. How people make sense out of their lives is a major concern to qualitative researchers.

### Research Questions

Primary Question: How can the New Zealand Army improve the leadership development of junior officers?

Secondary Question (1): How has the leadership of junior officers in the New Zealand Army met the expectations of senior leaders?

Secondary Question (2): How does the junior officer leadership development of the New Zealand Army compare to other armies within the Five Eyes (FVEY) community?

### Purpose and Methodology

The purpose of this study is to answer the Primary Research Question: How can the New Zealand Army improve the leadership development of junior officers? The



intended end-state of this research will suggest the production of a series of guidelines or recommendations that could enhance the leadership development process at Unit level within the New Zealand Army.

The research methods used in this research project were a combination of content analysis and survey. The content analysis related to the review and analysis of the existing leadership doctrine of the New Zealand Army, US Army, British Army, and Canadian Army. An initial review of the existing New Zealand doctrine was conducted to establish the baseline of current practice. From there, the analysis focused on reviewing the doctrine of the other armies within the scope of the study. Similarities were identified to reinforce the concept of best practice, and differences were highlighted for further analysis to ascertain whether they represented concepts that would be beneficially incorporated into the existing New Zealand doctrinal concept for leadership development.

Concurrent to the analysis of the doctrine discussed in the previous paragraph, analysis was also conducted by means of a survey of senior officers within both the New Zealand Army and the US Army. The survey was conducted with a population of 8 to 10 senior military officers (rank of Colonel or above) from within the New Zealand Army and US Army. The specified population was selected because they had served in senior leadership and command positions thus providing them with the experiential base to provide meaningful, valid and reliable responses. The purpose of this survey was identifying key areas for development or sustainment and reinforcing the analysis conducted in relation to the existing doctrine. The survey results served to answer the first of the Secondary Research Questions namely: How has the leadership of junior officers in the New Zealand Army met the expectations of senior leaders? The survey

results also served to reinforce the supporting analysis for the other Secondary Research Question: How does the junior officer leadership development of the New Zealand Army compare to other armies within the Five Eyes (FVEY) community?

For the survey itself, the same question-set was used for both the New Zealand Army and the US Army, in order to achieve standardization of results. The questions themselves were based upon the attributes and competencies of the US Army LRM, as well as some additional questions designed to prioritize effort for improvement, and utilize the experience of the survey participants as an additional means by which to identify ways to conduct improvement. The survey was a non-random, purposive sampling selection because it was the most effective mode by which to leverage the specific knowledge of the target audience. A random sample would not have included sufficient numbers of senior-level officers with the necessary experience to provide valid and reliable responses. The target survey audience was specifically selected to ensure optimal levels of validity and reliability in the results. The methodology selected in the survey was a mixed method, utilizing both numeric value questions and open-ended questions. The first type of question, the numeric value questions, provided objective quantitative data and the second type of question, the open ended questions, provided the experiential qualitative input through free text entries provided by the respondents. Survey were sent electronically via email, and responses returned by same means.

#### Survey Conduct and Confidentiality

All study participants were sent a copy of the Informed Consent Form (see Appendix 2), which was signed and returned to the researcher. In order for approval to be granted, the researcher was forced to comply with the Command and General Staff

College guidelines on Human Research. All of the potential survey participants were briefed via both the introductory email, and the Informed Consent Form, about the voluntary nature of the survey, the background behind it, and what any collected data would be used for. No personal information was used within the survey or the written thesis, and attribution was limited to identification of which army the individual was from i.e. “A US Army Officer said . . . ”

### Conclusion

Overall, the research methods discussed in this chapter provided sufficient scope for subsequent analysis to be conducted. The Primary Research Question was answered by a combination of qualitative analysis of doctrine combined with data gleaned from analysis of survey results, whilst the Secondary Research Question (1) was answered solely by means of review of the survey results obtained from New Zealand Army participants. An answer to Secondary Research Question (2) was achieved through a similar method to that used for the Primary Research Question. Existing New Zealand Army leadership doctrine was compared to the leadership doctrine of the other armies within the scope of the study and then these initial findings were subsequently compared to the responses gained from the survey results of both New Zealand Army participants and US Army participants.

## CHAPTER 4

### FINDINGS AND ANALYSIS

In chapter 2, the doctrine of the New Zealand Army, US Army, British Army and Canadian Army was reviewed. This chapter will present the analysis of the doctrine to answer the secondary research question “How does the junior officer leadership development of the New Zealand Army compare to other armies within the Five Eyes (FVEY) community?” Additionally, the researcher will also present the results of the senior officer surveys and discuss their importance in relation to the doctrinal review previously mentioned. This second part of the analysis will assist with the other secondary research question, “How has the leadership of junior officers in the New Zealand Army met the expectations of senior leaders?” Ultimately, the synthesis of both of these components provides the basis for answering the primary research question “How can the New Zealand Army improve the leadership development of junior officers?”

#### Analysis of New Zealand Leadership Doctrine

The New Zealand Army and the wider NZDF has comprehensive and detailed doctrine that relates to the subject of leadership. The doctrine combines single-service utilization, alongside Defence Force wide processes, which combine to provide an overarching framework that is comparative to many of the other armies review as part of this study. Of particular note are the similarities between New Zealand Army doctrine and that of the US Army. For example, in the Institute for Leadership Development doctrine of New Zealand, the two main tenets that guide development are Coach and

Mentor, and Guided Experimentation. Within the US Army, the tenets of leader development are Setting Conditions, Provide Feedback, Enhance Learning, and Create Opportunities. Clearly, both organizations place an emphasis on the importance of communication between the junior officers and their superiors, as well as the importance of creating developmental opportunities to improve their leadership skills. The tenets of the New Zealand doctrine do not specifically highlight the importance of feedback to the same extent that the US Army doctrine does, and this is a potential weakness. Another similarity between the New Zealand and US doctrine exists with the Leadership Development Framework, where the element Mission Focus aligns with the US Army Leadership Requirement Model Competency Achieves–Gets Results.

The New Zealand doctrine provides a framework that covers institutional development in a comprehensive way. The course continuum that a junior officer must complete systematically builds on the experience of the previous course, and ensures that the human capital component of leadership (professional mastery) is well resourced. The officer competencies identified in the Leadership Development Framework not only provide a system for institutional development, but also offer a means to assess competency within the operational realm of development. This is further emphasized by the fact that the officer competencies are also tied to the formal assessment of competency as part of the annual reporting cycle that all personnel undergo. The linkages between feedback from the institutional realm to the operational realm were found to exist, but could benefit from greater emphasis. In terms of the feedback that takes place within the operational realm, formal feedback was found to be robust, providing the reporting timelines and format were adhered to throughout the junior officer's reporting

period. The New Zealand leadership model also creates a philosophy of life-long learning, by the use of the officer competencies for leadership. The progression from Officer Cadet to General Officer is visible in the Commissioned Competency Framework, and there is no expectation that the leadership competencies are ever mastered. This creates a culture of learning throughout a New Zealand officer's career.

As previously mentioned, the institutional realm of the developmental cycle within the New Zealand Army is extremely robust; this has been updated through the introduction of the PCTP, which is a recent addition to the training continuum. Although the PCTP introduction has enhanced the institutional realm of leadership development, there is insufficient data at this time to discuss the merits of the scheme in any great detail. Although the scheme removes some of the administrative burden from Commanding Officers during the post-commissioning period, there is a risk that PCTP reduces the opportunities for Guided Experimentation and command experience in general.

A final observation of the New Zealand Army leadership doctrine relates to the guidance for commanding officers and the onus of responsibility. Commanding Officers are responsible for the development of junior officers under their command, yet there is no guidance to highlight methods by which to conduct development, or gauge effectiveness of existing development. The evaluating officers are expected to use their own professional military judgement and experience.

#### Analysis of US Army Doctrine

As noted previously, the US leadership doctrine is the most comprehensive of all of the armies that were included in this research, with multiple Army Regulations,

Pamphlets, Field Manuals and Army Doctrine Reference Publications available for review. From the perspective of the researcher, there is almost too much doctrine to make sense of, and the doctrine is in many ways unwieldy and wordy. However, the US Army has multiple sources of recruitment for officers, and as such it lacks the ability to apply a single standard, as would be achieved through the use of a single-school system such as the New Zealand Army's OCS model, or through the British Army's Royal Military Academy Sandhurst. From feedback obtained via the survey of US officers, the most significant deviation was in the leadership skills of US Army Officers commissioned through the OCS scheme. Work-ethic, interpersonal skills, and communication skills were cited as areas of weakness, and this impacted upon the ability of those officers to develop the skills necessary to communicate vision and intent, and to expand their spheres of influence beyond the direct influence achieved through presence alone. As a result of the constraints imposed by having multiple commissioning sources, there is a requirement to provide a different type of guidance around the characteristics and attributes of an army leader. This type of guidance is not found in the doctrine of the other armies surveyed in this study, and reflects the necessity under which the US Army must commission appropriate numbers of officers. The sheer size of the US Army, and the volume of officers that are required is a significant restraining factor; a single-source commissioning system would potentially raise overall leadership standards, but might not be able to cope with the demand placed on it by operational tempo and turnover of personnel.

The US Army concept for development, using the three realms of institutional-development and operational-development, all underpinned by self-development,

provides a neat model by which to explain the concept of leadership growth. The linkages between the three realms needs to be defined and also understood so that one can add value to the other. If leadership deficiencies or strengths are identified within one of the realms of development, that information needs to be transferred into the other realms. For example, if a leadership deficiency is identified during a period within the institutional realm, then that information must be passed back to the commanders within the operational realm so that corrective training can be conducted. Additionally, the individual must be made aware as well, so that self-development can be prioritized within that area as well. This requirement for awareness at all levels, ties into requirements that relate to concepts such as individual and tailored coaching and mentoring, 360-degree survey, and detailed leadership feedback as part of formal course reporting. Within the parameters of this research, the operational-realm of development is the focus, but the conditions for success within this area are set by the qualities achieved in the institutional-realm and nurtured continually throughout the self-development realm.

Although the US Army doctrine does not provide a guide as to how to develop the leadership of junior officers, it does place an emphasis on the importance of development taking place. This hinges on the requirement for commanders to truly know their subordinates and observe them on a regular basis. This is a function of command, but is also applicable to the self-development domain. To foster their own development, a junior officer must generate opportunities to be seen, if none are being provided for them. The primary means for this is through the Individual Development Plan which is used to tailor options according to individual needs. As part of the criteria for assessing leadership, the guide could be improved by providing a list of potential ways that junior



officer can improve these competencies. A tool such as this would be beneficial not only to the individual, but also to the commander, if they were seeking option for further development, or to ascertain whether the junior officer was self-motivated or not.

The onus on development lies with commanders, and the responsibilities and expectations of each command appointment holder is clearly defined. The primary appointment holders within the operational-realm of development are the brigade, battalion and company commanders. There is flexibility for specific tasks and responsibilities, but ultimately the responsibility falls upon the battalion commanders, as they are the most senior officer with whom the junior officers have any sort of regular contact. In comparison with the New Zealand model, there is a much clearer emphasis on the importance of command as a function of junior officer leadership development. This emphasis on command within the US doctrine links into the Primary Research Question and highlights a way to improve New Zealand junior officer leadership development. This could be incorporated through specified content on junior officer leadership development being mandated in brigade, battalion and company training plans.

During the review of the US Army leadership doctrine, a potential disconnect was identified between the Leader Requirements Model and the Principles of Mission Command, specifically around the balance between accepting risk and the requirement to get results. Being a results-driven organization is important and clearly being able to win on operations is an essential attribute of leadership, however, there is a requirement to strike a balance between always striving for perfection and allowing experience to be gained. Despite the strong emphasis within the doctrine upon the achievement of results, the feedback obtained from US Officers suggests that achieving the balance between

results and experience is merely a function of command, and one that can be balanced through the use of mission and intent. If time had allowed, the researcher would have deemed this topic worthy of follow-up with more targeted survey questions and analysis.

Studying the institutional-realm of leadership development, the BOLC course continuum is the primary educational component that links into the career timeframe of this research. The training objectives of this course are focused on the human capital component of development, in that they are designed to give the junior officer the technical skills needed to be competent in their role. This includes training and management skills, supervision and discipline of subordinates, mission training, and administrative and supply actions, as well as maintenance, security, and equipment husbandry. Some social capital development exists in terms of interaction with subordinates and superiors, but these objectives are out-weighed by the emphasis placed on technical proficiency. This analysis of the BOLC course outline aligns with the perceived disconnect between the developmental realms of institutional (into which this course falls), operational, and self.

The four tenets of leader development within the US Army were identified as Setting Conditions, Provide Feedback, Enhance Learning, and Create Opportunities. As previously discussed, these tenets align reasonably well with the New Zealand tenets from the Institute of Leadership Development. However, one area for further discussion relates to the provision of feedback. Ensuring that communication between junior officers and their superiors, both as part of the chain of command, and also in terms of coaching and mentoring, is essential for ongoing development. Evidence from survey feedback suggest that during periods of high tempo, feedback reduces, and as a default, feedback is

often only delivered via formal means. A potential solution for this may involve an amendment of the US Army tenets to reflect the requirement for commanders to continually provide both formal and informal feedback, however this lies outside the scope of this study.

A final observation of the US Army doctrine relates to the guidance for commanding officers and the onus of responsibility. US doctrine emphasizes the responsibility for the chain of command to ensure the development of junior officers, yet there is no guidance to highlight methods by which to conduct development, or gauge effectiveness of existing development. The evaluating officers are expected to use their own professional military judgement and experience. Survey feedback indicated that although not insurmountable, a systematic development process was the preferred method by which progress should be conducted. For many commanders, this process is intuitive, but intuitive methods do not perhaps mitigate the range of differences identified in some of the US Army junior officers, based on their commissioning source.

#### Analysis of British Army Doctrine

The leadership doctrine of the British Army has been recently updated (2016), and sits between the US Army and the New Zealand Army in terms of the quantity of doctrine that is used. However, the British Army doctrine is straightforward and easy to read, which is markedly different from the US Army doctrine in terms of readability and style. The British system of leadership development for officers has an advantage over the US Army because of a single commissioning source and because of size. The British Army can achieve a higher overall standard of competency due to the sole commissioning source being the Royal Military Academy Sandhurst, both for direct-

commission officers and for late-entry officers. The comparative size of the British Army officer corps is also advantageous, as there is not the same requirement for sheer volume of numbers that exists in the US Army.

Of all of the armies researched as part of this study, the British Army was also the one that placed the greatest emphasis on command responsibility in the leadership development process. The British Army Principles of Education are Individual Ownership, Chain of Command Responsibility, and Timeliness and Accuracy that highlights the emphasis placed on command involvement as well as individual responsibility. Individuality is also emphasized in British Army doctrine, and this leads into the requirement to tailor resources, developmental opportunities, and mentoring time, based on the capabilities of the individual. This serves to not only ensure standards are met, but allows the more talented officers to excel.

The British Army Officer Leadership Development Programme compares favorably with both the New Zealand Army and US Army approach to life-long learning. All three armies have conceptual timelines that run the full length of their respective officer career continuums. This highlights a key aspect for sustainment within any future development of the New Zealand Army leadership concept; any changes must adopt a whole of life approach that can not only be incorporated into the existing model, but can also be applicable across the entire rank-range, rather than just for junior officers. The British Army have sought to achieve this unity of purpose through the recent development of the Army Leadership Code. Using the acronym L-E-A-D-E-R-S, they have created an excellent framework to guide leadership development at all rank levels. By linking this code to the existing British Army Core Values, the Army Leadership

Code is further cemented within existing ideas, and establishes leadership (and the development thereof) as core business. When values are stated and followed, it allows for the development of trust and provides guidance for appropriate behavior; when they are not followed, it can lead to the erosion of trust. The alignment of leadership principles with core values of any organization is a concept that builds trust, and provides a source of stimulus. This concept could be utilized in any potential additions to existing New Zealand leadership doctrine.

The British Army was also the only one that utilized outdoor pursuits or adventurous training as a primary means of developing leadership. This type of resource is potentially under-utilized by the other armies within this study, and may provide a potential source of enhancement in relation to the New Zealand Army leadership development system. During the conduct of the Commissioning Course at the Royal Military Academy Sandhurst, British Officer Cadets are required to obtain an adventurous training qualification through the Adventurous Training Group (Army), and subsequently must also plan and organize or at least participate in an adventurous training expedition prior to commissioning. Adventurous training undoubtedly provides a useful, alternate means to develop junior officer leadership skills, although it cannot be classed as a core skill for all officers. Ultimately, there will be officers with more inclination towards outdoor pursuits, and the introduction to New Zealand of a system such as this would offer some benefits, but not for all. Again, this highlights the importance of a degree of emphasis on the individual, and their specific strengths, weaknesses, learning style, and developmental requirements.

Although command responsibility is identified as important in all of the armies researched herein, the British Army is the only one that has developed a specific program to ensure this obligation is fulfilled for junior officer leadership development. Using the Junior Officer Leadership Development Scheme (JOLP), and specifically JOLP 2, junior officer leadership development is monitored during the first two years post-commissioning. This focusses on ensuring the provision of challenging leadership roles, appropriate role-modelling, and feedback, all facilitated through Commanding Officers, who are ultimately required to sign a certificate of completion.

Further, of all the armies researched as part of this study, the British Army is the only one that has formal guidance for Commanding Officers regarding the leadership development of their junior officers. There is also an emphasis on Commanding Officers knowing their junior officers, and ensuring that individual needs are factored into development plans. Because the British model for leadership development benefits from having only one location for commissioning, namely the Royal Military Academy Sandhurst, the British model provides a structure more similar to that used within New Zealand, and as such, might ultimately provide a more realistic model for comparison than that of the US. The use of a Leadership Code that is interwoven with the organization's core values is a useful concept and one that provides utility for subsequent research and development.

#### Analysis of Canadian Army Doctrine

The key point identified in the review of the Canadian doctrine, was that no specific leadership doctrine currently exists. Despite this, the researcher was able to identify some similarities between the doctrinal concepts identified in the review of the

other armies, and the exiting Canadian Army career model. In a similar vein to the other armies researched, the Canadian Army extols a life-long learning approach. Their career model is structured along Development Periods and these DPs run throughout the entirety of a Canadian Officer's career. The two DPs that link to the career-timeframe of this study are DP 1 and DP 2. DP 1 focusses on human capital development, whereas DP 2 is focused on social capital via on the job training and on the job experience. There is also mention of mentoring and coaching by direct supervisors.

As a result of this analysis, the Canadian Army doctrine does not assist particularly in answering any of the research questions, other than by highlighting that the existence of New Zealand Army leadership doctrine compares favorably. The Canadian Army is currently in the process of developing their own leadership doctrine, which essentially provides further validation around the requirement for such doctrine to exist.

### Analysis of Survey Results

This survey was a non-random, purposive sampling selection because it was the most effective mode by which to leverage the specific knowledge of the target audience. A random sample would not have included sufficient numbers of senior-level officers with the necessary experience to provide valid and reliable responses. The target survey audience was specifically selected to ensure optimal levels of validity and reliability in the results. The methodology selected in the survey was a mixed method, utilizing both numeric value questions and open-ended questions. The first type of question, the numeric value questions, provided objective quantitative data and the second type of question, the open-ended questions, provided the experiential qualitative input through free text entries provided by the respondents.

The numeric value questions were based on the attributes and competencies shown in the US Army LRM shown at figure 14, and also on the three conceptual realms of development (self-development, institutional development, and operational-development). When interpreting the quantitative scores, lower numbers indicate results that are more positive; less is best.



Figure 13. US Army Leadership Requirements Model

Source: Department of the Army, Field Manual (FM) 6-22, *Leader Development* (Washington, DC: Government Printing Office, 2015), 1-4.



Emphasis on the different developmental realms. This question provided an immediate stark contrast between the expectations of the New Zealand Army officers and the US Army officers (see table 3). From the New Zealand perspective, the main priority was experience gained in the operational-realm. This was prioritized as the most important factor in more than seventy percent of the responses, with self-development in second place, and education or institutional-development being the lowest priority. In contrast, the US Army officers placed institutional-realm development (formal education) as the priority, with experience second, and self-development third, with 100 percent of the responses placing that as the lowest priority. These results highlight some interesting points. Firstly, they support the assertion that US doctrine and training is of primary importance, which aligns with the level of detail available for the literature review in chapter 2. Secondly, one of the most consistent themes identified in the survey of New Zealand officers was that the most beneficial period for junior officer leadership development was felt to be their time in command. There was strong resistance to the concept of additional time being taken away from the operational realm, in the form of additional courses or training outside of that which already exists.

Table 3. New Zealand and US Army Responses Regarding Survey Questions on Developmental Domains

For the following criteria, what priority do you give for junior officers?												
<b>New Zealand Army</b>										Total	Avg	Ranking
Education	3	1	2	3	3	2	2	3	2	21	2.33	3rd
Self-development	2	3	3	2	2	3	1	1	3	20	2.22	2nd
Experience	1	2	1	1	1	1	3	2	1	13	1.44	1st
<b>US Army</b>										Total	Avg	Ranking
Education	1	1	2	1	1	1	1	1	1	10	1.11	1st
Self-development	3	3	3	3	2	3	3	2	3	25	2.78	3rd
Experience	2	2	1	2	3	2	2	3	2	19	2.11	2nd

Source: Created by author.

The importance of Character. From the survey questions related to the LRM attribute Character, some key trends were identified (see table 4). In both nations, the concepts of Warrior Ethos and the respective Army Values were deemed to be the priority. For the New Zealand Army, Warrior Ethos was the top priority, with Army Values in second place, and in the US Army, the results were reversed. Regardless of whether they placed first or second, both results highlight the importance placed by senior leaders on their junior officers being grounded within principle-based ethical decision-making. As leaders with a predominantly direct-leadership role, these results also underline the importance of deliberate role-modelling to subordinates.

Table 4. New Zealand and US Army Responses Regarding Survey Questions on Character

For the following criteria, what priority do you give for junior officers? (Character)												
New Zealand Army										Total	Avg	Ranking
Army values	1	3	3	1	1	3	4	1	1	18	2.00	2nd
Empathy	3	2	1	4	3	2	1	4	3	23	2.56	3rd
Warrior/Service ethos	2	1	2	2	2	1	3	2	2	17	1.89	1st
Discipline	4	4	4	3	4	4	2	3	4	32	3.56	4th
US Army										Total	Avg	Ranking
Army values	1	1	1	1	1	1	1	1	1	9	1.00	1st
Empathy	4	4	4	4	4	4	4	3	4	35	3.89	4th
Warrior/Service ethos	2	2	2	2	3	2	3	2	2	20	2.22	2nd
Discipline	3	3	3	3	2	3	2	4	3	26	2.89	3rd

Source: Created by author.

Resilience versus Military Bearing. Under the auspices of Presence, the comparison of the New Zealand Army and US Army results again highlighted some interesting areas of difference (see table 5). For New Zealand Officers, the most important quality from the list (Military Bearing, Fitness, Confidence, and Resilience) was Resilience, which accrued the first-place ranking in 60 percent of the responses. Military Bearing was deemed to be least important. Resilience relates predominantly to junior officers being able to learn experientially without becoming frustrated due to a lack of professional mastery. Senior leaders viewed the feedback process as critical to ensuring this quality was cultivated in their subordinates. Maintaining a regular dialogue with junior officers allowed them to track the performance of their junior officers and to re-orientate their efforts as required. It was also highlighted that other work-pressures were often responsible for detracting senior officers from this focus. This fact is important to note, as the result is that feedback is not given when it is needed most (i.e.

when a junior officer conducting their most important activities such as during an exercise, or on operations).

Experiences as a LT are the most formative. In my experience, the most intense and immediate leadership experiences occur at the platoon and company level. Technical training and education provide tools, confidence and credibility, but only experiential learning can fully develop leadership ability. Decision making under pressure with real consequences builds character and leader ability.<sup>22</sup>

From the perspective of senior officers in the US Army, the most important quality was Military Bearing. This was markedly different to the feedback from New Zealand, and potentially links to the different expectations of a newly-commissioned US Army officer. Again, based on the broader range of commissioning sources, and the greater emphasis on institutional-domain development within the US Army system, this result is not surprising, as there is potentially less scope for development if this attribute in the operational-realm, if it has not been previously established.

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<sup>22</sup> CGSC Survey 17-02-001, Response from a US Army Officer.

Table 5. New Zealand and US Army Responses Regarding Survey Questions on Presence

For the following criteria, what priority do you give for junior officers? (Presence)												
New Zealand Army										Total	Avg	Ranking
Military bearing	4	3	3	4	4	4	1	4	4	31	3.44	4th
Fitness	3	2	4	1	3	3	2	3	3	24	2.67	3rd
Confidence	2	1	2	3	2	2	3	2	2	19	2.11	2nd
Resilience	1	4	1	2	1	1	4	1	1	16	1.78	1st
US Army										Total	Avg	Ranking
Military bearing	3	1	1	1	1	1	2	1	1	12	1.33	1st
Fitness	4	4	3	2	4	3	3	4	3	30	3.33	4th
Confidence	1	2	4	4	2	4	4	2	4	27	3.00	3rd
Resilience	2	3	2	3	3	3	1	3	2	22	2.44	2nd

Source: Created by author.

Not technical experts, but good decision makers. The final quantitative survey question related to the LRM attribute Intellect (see table 6). The results show that both the New Zealand Army and US Army placed sound judgement and mental agility as their first and second priority, with expertise in fourth or fifth place respectively. Although a degree of technical understanding is clearly important, for both professional credibility and understanding, the overall emphasis is more on junior officers who can provide perspective on complex problems, and who can make good decisions with limited information.

Table 6. New Zealand and US Army Responses Regarding Survey Questions on Intellect

For the following criteria, what priority do you give for junior officers? (Intellect)												
<b>New Zealand Army</b>										Total	Avg	Ranking
Mental agility	1	2	4	2	2	1	5	3	2	22	2.44	2nd
Sound judgement	2	1	1	1	3	2	3	2	1	16	1.78	1st
Innovation	5	3	5	5	5	3	4	4	3	37	4.11	5th
Interpersonal tact	3	5	2	3	1	4	2	5	4	29	3.22	3rd
Expertise	4	4	3	4	4	5	1	1	5	31	3.44	4th
<b>US Army</b>										Total	Avg	Ranking
Mental agility	2	2	4	2	1	3	2	2	1	19	2.11	2nd
Sound judgement	1	3	1	1	2	2	1	1	2	14	1.56	1st
Innovation	4	4	3	3	4	4	4	3	3	32	3.56	4th
Interpersonal tact	3	5	2	5	3	1	3	5	4	31	3.44	3rd
Expertise	5	1	5	4	5	5	5	4	5	39	4.33	5th

Source: Created by author.

The importance of feedback. In both the New Zealand and US Army responses, the risk created by tempo was identified. High tempo periods were thought to be detrimental to reporting, which re-emphasizes the importance of the allocation of time not only for developmental activities (guided experimentation), but also for feedback. Informal feedback was found to be less prominent, but no less important than formal feedback. The frequency of informal feedback cannot be specified (less it become formal feedback), but there was direct correlation between the senior officers who were content with the performance of junior officers, and the ones who allocated time to informal feedback and development.

A systematic approach to junior officer development. A clear emphasis was placed on the requirement for structured development programs. To be clear, this sentiment did not extol the virtues of additional time for junior officers within the

institutional-realm rather it highlighted the benefits that could be gained with a formalized structure for development.

Experience cannot be taught, but it can be more quickly gained through a systematic development process. Junior leader development need to deliver as many repetitions as possible where junior officers lead and make decisions of consequence without jeopardizing their careers. This requires more senior leaders to underwrite those decisions and resource the junior officer with experienced NCOs while the junior officers are developing through their own experiences.<sup>23</sup>

This support for a systematic process or model for junior officer leadership development aligns with the evidence obtained via the analysis of the doctrine from both the New Zealand Army and the US Army. As previously noted, neither of these organizations provide formal guidance on the conduct of leadership development activities, or particularly emphasizes the onus that should be placed on the subject. Feedback also indicated that although not completely restrictive, this lack of guidance did not fully utilize the lessons learned by other commanders, nor did it create a sense of shared understanding across the organization.

Generational differences. The theme of generational differences was a contentious subject that arose unprompted from the survey feedback. There was conjecture over whether the modern junior officer was markedly different from their historical peers, or whether this was a perspective that was overly dismissive of the modern generation's abilities. Overall, the consensus favored the idea that the modern junior officer was just as dedicated and capable as their historical peers, but that senior officers needed to acknowledge that what had worked historically would not necessarily work going forward.

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<sup>23</sup> CGSC Survey 17-02-001, Response from a US Army Officer.

I am not a proponent of the ‘current generation isn’t as good as us’ view of millennials/generation Y etc. Although they are different from us, they meet my expectations. They require a different approach to development and mentorship. Concepts such as social media connectivity, individualism, and responsibility need to be considered.<sup>24</sup>

Although somewhat outside the scope of this research, the question of how best to deliver developmental support is an interesting question and one that would merit further research.

### Conclusion

The analysis of leadership doctrine and the survey results provided the researcher with a range of discoveries relating to the subject of junior officer leadership development. Numerous options for ways to improve the existing New Zealand Army leadership development model were found, and the existing systems were compared to those in use amongst the other armies forming part of this research. The analysis also provided the researcher with sufficient data to assess the extent to which the leadership of New Zealand junior officer met the expectations of senior officers.

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<sup>24</sup> CGSC Survey 17-02-001, Response from a New Zealand Army Officer.



## CHAPTER 5

### CONCLUSIONS AND RECOMMENDATIONS

#### Introduction

This research project studied officer leadership development with the intent of answering the primary research question “How can the New Zealand Army improve the leadership development of junior officers?” The primary question was supported by two secondary questions, “How does the junior officer leadership development of the New Zealand Army compare to other armies within the Five Eyes (FVEY) community?” and “How has the leadership of junior officers in the New Zealand Army met the expectations of senior leaders?”

The answer to the primary research question is detailed in the Recommendations component of this chapter. In summary, the key options for improvements relate to the provision of more formal and informal feedback, greater emphasis on command responsibility, and clearer guidance for commanders regarding the structure and format of leadership development activities. The answer to the first of the secondary research question (comparison with other armies) is provided in the following Conclusions from the Doctrine section. In summary, the junior officer leadership development model of the New Zealand Army shares many commonalities with the US Army and British Army models, and even though the Canadian Army does not have specific leadership doctrine at this time, there is evidence of common ground there as well. The answer to the second of the two secondary research questions (senior officer expectations) is that in general senior officers who took part in this study were happy with both the leadership of their junior officers and the leadership development system itself. However, the most

important point, related to the importance of leadership development maintaining a prominent place in all commander's schedules and not being omitted due to constraints elsewhere.

### Conclusions from Doctrine

The New Zealand Army leadership development models compared favorably with those of the other armies researched in this study. There were similarities in the tenets of development detailed in the Institute for Leadership Development doctrine, and the US Army tenets of leader development, and many of the same concepts around life-long learning, individuality, and command involvement were present through each country's doctrine. The New Zealand doctrine lacked a clear emphasis on feedback, and although the importance of command involvement was highlighted, no formal guidance is provided to Commanding Officers to assist with junior officer leadership development. Of all of the armies researched, the New Zealand Army was the only one that provided a clear linkage between the elements of leadership and leader development, and the competencies contained within the annual reporting system.

The US Army had the most detailed and specific doctrine relating to leadership development, with clearly defined responsibilities and expectations, both for individuals and for commanders. The US Army's emphasis on command responsibility in leadership development was more clearly defined than that of the New Zealand Army, but again there was a lack of formal guidance for Commanding Officers concerning junior officer leadership development.

The British Army doctrine was the most recently updated, and contained numerous concepts not found in any of the other army's doctrine. The British Army

doctrine placed the greatest emphasis of all on command responsibility in relation to leadership development, and was the only one that provides formal guidance for Commanding Officers and a specific process JOLP to support junior officer development. The British Army was also the only one in this study that utilized adventurous training primarily as a leadership development tool.

Although the Canadian Army was found not to have specific leadership development doctrine, some conceptual similarities we noticed between this and the other armies studied. There was a clear emphasis on life-long learning, leader and leadership development, and on the job training and experience.

### Recommendations

This section provides factors to improve the New Zealand Army's leadership development program, a development structure based on existing New Zealand leadership doctrine, and development of a leadership code of behaviors. Each are discussed by sub-section.

Factors. The factors for consideration are (or are not) provided in order of priority.

Greater Emphasis on Feedback. The importance of both informal and formal feedback has been highlighted as a key component for leadership development. For formal feedback, this could be enhanced by strengthening the linkages between the institutional domain and the operational domain and structuring course reports so that as a matter of course they report on a student's leadership. This feedback could align with the six existing elements of the Leadership Development Framework to ensure alignment

with wider New Zealand leadership doctrine. Informal feedback is equally important, and clear emphasis must be given to commanders to ensure that this occurs.

Emphasize Command Responsibility. One of the key concerns highlighted during this research project was the importance of commanders in the leadership development process, and the potential for this involvement to be diluted or to not occur. In order to mitigate this risk, the following recommendations are made.

Firstly, the importance of command involvement must be reiterated. Inclusion of a paragraph in formation-level training plans that specified that all Unit commanders were to conduct junior officer leadership development on a regular basis might suffice, but would not guarantee success as an isolated measure.

Given tempo and other requirements, the difficulty is on legislating a regime that ensures that all benefit experientially. All officers from Capt-Brig would agree that this is a priority, but how does this stack against other priorities including Unit requirements? In my experience, too many more senior officer negate to follow through with what their rhetoric promises.<sup>25</sup>

In addition to the emphasis on junior officer leadership development being highlighted formally within training plans, another potential option would be the introduction of a “Certificate of Completion” to be signed by Unit commanders. This would perform a similar role to the JOLP 2 certificate that is part of the British Army junior officer development model. A system such as this would guarantee accountability, if employed in tandem with the increased emphasis achieved via insertion in formation training plans.

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<sup>25</sup> CGSC Survey 17-02-001, Response from a New Zealand Army Officer.

Within the Units themselves, the Commanding Officer is ultimately responsible for the development of the junior officers. In the opinion of the researcher, the Commanding Officer has the responsibility of actively reinforcing the importance of the development process during the early stages of his or her tenure, and also going the extra mile to ensure that the development requirements are exceeded. Also, the Commanding Officer must ring-fence time for this development to occur.

Put more responsibility on the officer's unit senior leadership to develop and execute a leadership development plan. Enforce checks and balances to ensure unit leaders are executing this plan instead of expected the school houses to do it for them.<sup>26</sup>

Provision of Commanding Officer Guidance. It was identified in the literature review that of all the armies researched as part of this study, the British Army is the only one that has formal guidance for Commanding Officers regarding the leadership development of their junior officers. Within the New Zealand Army, no guidance exists to highlight methods by which to conduct development, or gauge effectiveness of existing development. The evaluating officers are expected to use their own professional military judgement and experience.

#### A Development Structure Based on Existing New Zealand Leadership Doctrine

To enhance the existing system, it is recommended that a series of formal guidelines are created to aid commanders in their development of junior officer's leadership skills. These should include a mixture of both leader development and leadership development (human capital and social capital) to maximize effectiveness, and

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<sup>26</sup> CGSC Survey 17-02-001, Response from a US Army Officer.

ensure balanced development. A straightforward method that could be used to achieve this would be the alignment of development guidelines alongside the six existing elements of the Leadership Development Framework. If the prior recommendation on formal feedback were accepted, then a commander would receive a report on a junior officer's strengths and weaknesses in accordance with the framework. That would then allow the creation of a tailored development plan for officers based on their individual requirements for growth. For each element, potential topics may include:

Live the Ethos and Values. This would be classed as leader development and would focus on periods of ethical discussion and values-based leadership case studies. Informal feedback would be given on the individual's ability to provide a suitable role model for subordinates, and areas in which to improve. The end state would be a junior officer who understands the importance of being an ethical commander, with a strong "moral compass" who sets a strong example to peers and subordinates alike. The ability to make good decisions in ethically challenging situations would also be important.

Think Smart. The ability to think smart is another leader development component. In this development area, the aim would be to develop the critical and creative thinking abilities of the junior officer and to create a culture of advanced situational awareness, in terms of both the New Zealand Army and wider Defence Force, and also in terms of world events and current affairs. Developmental periods would be ring-fenced, and formal written and oral back briefs would be given, thus enhancing personal communication skills as well. Additionally, this module would seek to empower the individual officer's self-development skills. An emphasis on individual development plans and career and life goals would set the standard for the junior officer's subsequent

development of his or her subordinates. The end state for this would be a junior officer with improved communication skills who has the ability to analyze complex situations, and has a firm grasp on relevant regional and global affairs.

Influence Others. The ability to influence others is a function of leadership (social capital) development. As part of an improvement program, the focus for training in periods assigned to this would be internal and external relationship building, cultural awareness and conflict resolution skills. Growth could be achieved through briefings from key personalities within the Unit (company commanders, S3, XO), and outside the Unit (school house instructors, brigade staff, senior officers). This could be done in a formal classroom environment or as part of an informal, social event where junior officers were given hosting responsibilities, thus developing their social skills as well. For this element, the end state would be a culturally aware junior officer who knew the key personalities in his or her area of interest, and how they could help to enhance their part of the organization.

Develop Teams. The development of teams would also class as leadership development, and would focus on the facilitation of team-building activities amongst the junior officer cohort, as well as providing the junior officers with ring-fenced periods and the necessary support to conduct their own team building and development activities with their subordinates. Additional development time would focus on skills such as counselling and feedback methods, formal appraisal writing skills, and different influence techniques. The end state would be a junior officer with a strong, positive relationship both with his or her peers, and with the other members of the leadership team. The junior officer would also have the necessary skills to alternate between “hard” and “soft”

influence techniques, and be able to provide formal and informal feedback to aid development.

Develop Positive Culture. Developing a positive culture relates to the morale and spiritual well-being of the organization and a junior officer will ultimately “own” the culture within their platoon or troop. To facilitate them in this responsibility, commanders need to invest time in developing the Unit culture and climate, which will set the tone for the subsequent development of the sub-unit culture. Furthermore, the ability of the junior officer to develop a positive culture would benefit from education on leadership theory, Unit history, mentoring programs, and the philosophy of mission command. Ultimately, the end state for this training would be junior officers who were invested in the culture of the organization, and who was better prepared to conduct their own leader development programs.

Mission Focus. The “mission focus” component of the suggested development program would focus on developing understanding of the existing NZDF operational environments, as well as more generic education on wider geo-political issues as part of an overall grounding in current affairs. Junior officers would give back briefs on topics related to operational matters and world events, so that their ability to communicate complex subjects effectively could be gauged. Empowering the officers to enforce standards would be another important component of this element, and so development of their understanding of disciplinary responsibilities could be undertaken. Finally, the development of the junior officer’s aptitude for “intent-based leadership” would support the philosophy of mission command and encourage innovation.



### Development of a Leadership Code of Behaviors

Evidence from this study suggests that leadership development can be facilitated by providing clear guidance on standards and behavior. As part of this concept, the introduction of a leadership code similar to the one recently introduced in the British Army is an idea that holds merit. As an outline idea, the “code” should align with the existing Core Values of the NZDF, which are Courage, Commitment, Comradeship, and Integrity, and should ideally use a Maori word for leader (rangatira) or leadership (rangatiratanga) as the guiding mnemonic.

### Future Research Opportunities

In terms of future research opportunities, there are a number of subjects that have been identified in the course of this research project that would be potentially beneficial to the academic community. The first one relates to the introduction of PCTP within the New Zealand Army. As it is a relatively new initiative, there is merit in conducting research into whether it is beneficial, or whether it is more valuable for junior officers to retain their additional time in the operational realm. Another area for potential research could see a wider range of armies being analyzed as part of a study of junior officer leadership. Inclusion of other armies of a similar size to the New Zealand Army might produce new and interesting information.

The impending introduction of leadership doctrine into the Canadian armed forces is another topic for potential research; a researcher might study the “before and after” leadership standards, and see if the introduction of leadership doctrine did anything to change the overall standard. Another study of a similar ilk relates to the new “Leadership

Code” doctrine introduced by the British Army. Conducting a detailed analysis of this doctrine, and a gain evaluating its effectiveness would be extremely interesting.

Within the New Zealand Army, the question of how best to integrate the reserve or “Territorial” Forces is a frequently asked question. This relates to junior officer leadership development, in terms of how to best ensure a similar level of professional development within the fields of leadership for Territorial Forces junior officers as expected of regular force officers.

As a final thought, the relationship between the Mission Command philosophy and communication is an important topic. As situational awareness and communication systems have improved, and the strategic ramifications of tactical decisions has risen, so the concept of mission command has been potentially eroded. An extremely interesting study would relate to the balance between enhanced situation awareness and the higher level, and mission command and the lower level. The question being whether the concept of mission command remains as relevant as it did in the past, or whether the requirement is or has been overtaken by technology.

### Conclusions

In overall conclusion, this study has identified several ways to improve the leadership development of junior officers within the New Zealand Army. Improving feedback on leadership performance both formally and informally is important, as is emphasizing the responsibility of commanders to fulfil their responsibilities.

Additionally, this study found that the provision of formal guidance for commanders would enhance their ability to conduct development, as would the introduction of a structured development model within the operational development realm. To align with

existing leadership doctrine, this development model should use the Leadership Development Framework as the guiding principles. Lastly, the creation of a code of leadership and associated behaviors would also help to provide greater guidance for all ranks, regardless of their leadership role.

APPENDIX 1  
SURVEY QUESTIONS

The survey questions are shown in the following list (CGSC Survey 17-02-001):

1. Do you believe that a structured program to develop junior officer leadership abilities is important? (Select one).
  - a. 4 – Very important
  - b. 3 – Somewhat important
  - c. 2 – Less important
  - d. 1 – Unimportant
2. How important is the direct involvement of senior officers in junior officer leadership development? (Select one).
  - a. 4 – Very important
  - b. 3 – Somewhat important
  - c. 2 – Less important
  - d. 1 – Unimportant
3. For the following criteria, what priority to you give for junior officers?  
(Number 1-3 in priority).
  - a. \_\_\_\_ Education
  - b. \_\_\_\_ Self-development
  - c. \_\_\_\_ Experience
4. For the following criteria, what priority do you give for junior officers?  
(Number 1-4 in priority).
  - a. \_\_\_\_ Army values

- b. \_\_\_\_ Empathy
- c. \_\_\_\_ Warrior/Service ethos
- d. \_\_\_\_ Discipline

5. For the following criteria, what priority to you give for junior officers?

(Number 1-4 in priority).

- a. \_\_\_\_ Military and professional bearing
- b. \_\_\_\_ Fitness
- c. \_\_\_\_ Confidence
- d. \_\_\_\_ Resilience

6. For the following criteria, what priority to you give for junior officers?

(Number 1-5 in priority).

- a. \_\_\_\_ Mental agility
- b. \_\_\_\_ Sound judgement
- c. \_\_\_\_ Innovation
- d. \_\_\_\_ Interpersonal tact
- e. \_\_\_\_ Expertise

7. When you had junior officers (2LT-LT) under your command, did their leadership abilities meet your expectations? If not, please explain why.
8. Were you ever dissatisfied with the leadership abilities of your junior officers?  
Please give examples of any common themes or significant issues.
9. When you had junior officers under your command, how were their leadership abilities developed?

10. Were you ever involved in developing junior officer leadership abilities, and if so, how?
11. How did you quantify whether the leadership abilities of junior officers were developing appropriately?
12. Do you have any recommendations on how to improve leadership development of junior officers?

## APPENDIX 2

### INFORMED CONSENT FORM

#### **Junior Officer Leadership Development in the New Zealand Army**

##### **Consent to Participate in a Research Study**

This is a research study conducted in support of a Master's degree in Military Art and Science (MMAS) with a view to improving the leadership of junior officers (2LT/LT) within the New Zealand Army. This form provides information to you on your rights as a research participant in the above named study and the responsibility that the researcher has during this study. The Combined Arms Center - Education (CAC-E) has approved this study and supports the research.

##### **Purpose of the Research Study**

The intent of this study is to describe and compare the New Zealand Army junior officer leadership development model to those used by the British, Canadian, and US armies and identify ways the New Zealand Army model can be improved

##### **Procedures**

This survey will include approximately 30 participants and should take no more than 30 minutes to complete. The subject will be directed to complete the approved survey and return their response to the Principal Investigator. All participants are reminded not to discuss classified information or any potential violations of military or civilian law.

##### **Risks**

No significant risks have been identified in the conduct of this survey.

##### **Benefits**

This is a research study and there is no expectation that you will receive any direct benefit from participation.

##### **Compensation**

Participants will not be compensated for their participation.

##### **Confidentiality**

All surveys will be subject to de-identification; Human Subjects Protection Office or a DoD designee may inspect the records. All data obtained about you, as an individual, will be considered privileged and held in confidence; you will not be identified in any presentation of the results unless you wish so. All data related to this study will remain secured for a period of not less than three years from the approval date for the research study.

**Contacts for Additional Assistance**

Should any additional assistance be required, the subject can contact the following:

1. MAJ Iain Hill (Principal Investigator), email: iain.c.hill.fm@mail.mil
2. Dr. Dale Spurlin (CAC LD&E IRB Chair), email: dale.f.spurlin.civ@mail.mil

**Voluntary Participation**

Participation in a research study is voluntary. Anyone who is asked to be in a research study may say no. No one has to become a research subject. If you start a research study, you may stop at any time. You do not need to give a reason. No one can discriminate against you or treat you differently if you choose not to be in a research study or later decide to stop your participation.

**Statement of Consent**

I have read this form and its contents were explained. I agree to be in this research study for the purposes listed above. All of my questions were answered to my satisfaction. I understand I will receive a signed and dated copy of this form for my records.

\_\_\_\_\_/\_\_\_\_/\_\_\_\_

**Signature of Research Subject      Date**

\_\_\_\_\_  
**Printed Name of Research Subject**

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**Principal Investigator Signature      Date**



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