THE NZDF LEADERSHIP DEVELOPMENT SYSTEM, AND THE FUTURE
LAND OPERATING CONCEPT 2035: PRODUCING ARMY
LEADERS FOR THE FUTURE FIGHT

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This study identifies the requirements outlined in the NZ Army Future Land Operating Concept 2035 and considers how well suited the New Zealand Defence Force Leadership Development System is to producing NZ Army leaders for the future operating environment. It takes a comparative case study approach using document analysis to compare the New Zealand Defence Force Leadership Development System against Complexity Leadership Theory, Transformational Leadership Theory and Ethical Leadership using the Ethical Triangle. It makes the assessment that the Leadership Development System is generally sufficient to meet the requirements of generating leaders for the NZ Army to realize its Future Land Operating Concept 2035.

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The opinions and conclusions expressed herein are those of the student author and do not necessarily represent the views of the U.S. Army Command and General Staff College or any other governmental agency. (References to this study should include the foregoing statement.)

ABSTRACT

THE NZDF LEADERSHIP DEVELOPMENT SYSTEM, AND THE FUTURE LAND OPERATING CONCEPT 2035: PRODUCING ARMY LEADERS FOR THE FUTURE FIGHT, by MAJ Paul William Reed, 97 pages.

This study identifies the requirements outlined in the NZ Army Future Land Operating Concept 2035 and considers how well suited the New Zealand Defence Force Leadership Development System is to producing NZ Army leaders for the future operating environment. It takes a comparative case study approach using document analysis to compare the New Zealand Defence Force Leadership Development System against Complexity Leadership Theory, Transformational Leadership Theory and Ethical Leadership using the Ethical Triangle. It makes the assessment that the Leadership Development System is generally sufficient to meet the requirements of generating leaders for the NZ Army to realize its Future Land Operating Concept.

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ACRONYMS

NZDF   New Zealand Defence Force

NZ Army   New Zealand Army

FLOC 35   NZ Army Future Land Operating Concept 2035

C3I   Courage, Commitment, Comradeship, and Integrity

CAS   Complex Adaptive Systems

LF   Leadership Framework

LDS   Leadership Development System

PDR   Personnel Digital Report

ILD   Institute for Leader Development

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CHAPTER 1

INTRODUCTION

Background

The New Zealand Defence Force (NZDF) has identified 2035 as a strategic

milestone and produced Future 2035 as a strategic concept. Subordinate to this concept

the New Zealand Army (NZ Army) produced the *Future Land Operating Concept 2035*

(FLOC 35). FLOC 35 is the capstone operating concept for the NZ Army.[1] It describes

an emerging operating environment that is dynamic, technologically complex, and

morally challenging.

Focused on a range of military operations in the NZ Exclusive Economic Zone,

national protectorates, the South Pacific, and around the globe,[2] FLOC 35 outlines an

operating environment that is subject to a myriad of operational variables that demand

technologically capable, ethically minded leadership capable of adapting to the operating

environment. The NZ Army values–Courage, Commitment, Comradeship, and Integrity[3]

(C3I)–underpin the NZ Army culture and are detailed in NZDF Leadership Doctrine.

Organizational leadership is a critical aspect of military leadership. NZ Army's

organizational leaders must be capable of warfighting within this complex emerging

environment of ever-increasing lethality. At the organizational level, leaders must be able

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[1] New Zealand Defence Force (NZDF), *Future Land Operating Concept 2035: Intergrated Land Missions* (FLOC 35) (Wellington: New Zealand Government, 2017), 5.

[2] Ibid., 20-21.

[3] Ibid., 58.

to deliver effects, execute decision making, inform senior leaders, as well as command soldiers. These requirements must be met by leaders who understand the ethical alignment of their decision making and are capable of producing results ethically. The western way of war demands an ethical imperative in all military decision making.

To support and educate the future military leaders who will operate in the environment described by FLOC 35 The NZDF has developed a Leadership Development System (LDS), which is organized into seven levels from lead self, through to lead service.[4] There are a number of other systems and models that could be considered useful tools for developing organizational leaders that come from a variety of sources including business and academia. However, the LDS is built on the foundation of the NZDF Values and ultimately focused on the achievement of the mission.[5] Understanding the higher intent and organizing capabilities to order to achieve a mission is a foundational concept for military leaders. Mission achievement in the emerging battlespace is likely to require leaders to make decisions in increasingly complex operational environments.

Mission planning is a detailed, often complex process, and the emerging battlespace is likely to increase this complexity, rather than simplify it. "Of all planners

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[4] New Zealand Defence Force (NZDF), New Zealand Defence Doctrine Publication (NADDP)-00.6, *Leadership* (Wellington: Headquarters New Zealand Defence Force, 2018), 23.

[5] New Zealand Defence Force Institute for Leadership Development (NZDF ILD), *Lead Capability Transition Guide,* Leadership Development Guide (Trentham: New Zealand Defence Force, 2020), 7.

military planners have both the hardest task and the most at stake."[6] Military expertise includes elements of both science and art. The application of military concepts to an operational problem to reach an appropriate military solution and achieve the mission should be considered a deep technical specialty. Technical expertise, and indeed leading through complexity will be particularly important in the operating environment defined by the FLOC 35 to interpret threats, synthesize information, lead other technical specialists, and make decisions.

Some of the requirements for leadership in this operating environment could be considered the intangible, moral and ethical factors that influence decision making. The way these factors present in the battlespace can be subtle and at the same time mission critical. Interpretation of these ethical and moral considerations requires a wholly different skill set that includes self-awareness, cultural, legal, and ethical understanding. Developing these skills in organizational leaders is a challenging endeavor and to enable leaders to achieve missions in the FLOC 35 the NZDF Leadership Development System must address and include these skills in its model.

<u>Thesis</u>

The NZDF LDS is an appropriate tool to produce leaders for the NZ Army that are adept at leading through complexity, ethically aware, and understand how to influence the NZDF and NZ Army organizational culture both now and into the future.

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[6] James MacGregor Burns, *Transforming Leadership* (New York: Atlantic Monthly Press, 2003), 52.

Problem Statement

The FLOC 35 provides the NZ Army a capstone operating concept. It describes a significantly complex and diverse operating environment and sets the basis for NZ Army capability development, force design and further operational concept development with a focus on future conflict out to 2035. To see these concepts realized, the NZ Army will need to generate technically proficient leaders who can identify, interpret, and influence NZDF organizational culture.

Purpose of the Study

The FLOC 35 has identified that the operating environment for NZ Army leaders is likely to be technically complex[7] and ethically challenging.[8] This study will examine the NZDF LDS from an NZ Army perspective. It will identify what tools within the NZDF Leadership Framework (LF) are applicable to fostering leaders capable of delivering results at a high level in this operating environment. Further, this study will analyze whether there are any prospective gaps in the framework and identify other tools or models that could be used to enhance the effectiveness of the model in developing the leaders necessary for the future of the New Zealand Army.

Research Questions

Primary Research Question

The NZDF LDS is the primary leadership development model that the NZDF uses to produce leaders at all levels within the organization. How does the NZDF LDS

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[7] NZDF, FLOC 35, 9-12.

[8] Ibid., 58.

produce organizational level leaders for the NZ Army who are trained to lead integrated land missions in a dynamic, network enabled and culturally diverse force, described by FLOC 35?

<center>Secondary Research Questions</center>

1. How does the NZDF LDS produce NZ Army leaders who are able to operate in a complex operating environment?

2. How does the NZDF LDS influence NZ Army and NZDF organizational culture?

3. How does the NZDF LDS develop organizational level leaders who are culturally and ethically aware?

4. What other methods of developing organizational leadership could be used to augment the NZDF LDS in support of integrated land missions in a dynamic, network enabled and culturally diverse force?

<center><u>Assumptions</u></center>

The assumption must be made that the rate of technological adaption and therefore the complexity of the operating environment between now and FLOC 35 will continue to increase and not decrease. This is one of the conditions described in the FLOC 35 and while it is highly likely, must be treated as an assumption.

The traditional military approach to leadership will remain hierarchical in nature. While operational teams may contain many subject matter experts of various ranks and trades, it must be assumed that a singular appointed commander vested with military authority will continue to be the controlling agent in any military deployment. At no

<center>5</center>

point will a team of officers be placed in command of any operation, and thus a singular commander will be the decision-making authority at the organizational level for the FLOC 35.

The recruits of 2035 are likely to be generationally different from current soldiers. They are growing up in a more connected world that is subject to continuing urbanization. Based on current trends, the soldiers of 2035 are likely to be more educated, self-assured, and multi-cultural. They are also likely to be less physically and mentally resilient, and yet equally responsive to challenge and competition.[9] This assumption must be made to understand some of the factors that future leaders must consider part of their decision making. It also highlights some of the ethical and cultural challenges inherent within military leadership.

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

This study will focus specifically on how the NZ Army applies the NZDF LF, and the NZDF LDS at the organizational level using the FLOC 35 to identify the leadership requirements. It will not consider how the remainder of NZDF prepares its organizational leaders because the other services work to different operating concepts, and therefore have different leadership requirements. Also, it will not consider the NZ Army specific career model because structured single service career coursing for the NZ Army ends at completion of the Grade 2 Staff and Tactics course on promotion to Major.

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[9] NZDF, FLOC 35, 18.

Owing to the limited time available for this study, only three leadership theories will be considered against the NZDF LDS. This research will analyze the NZDF LDS from a Complexity, Transformational, and Ethical leadership perspective. This will provide a robust analysis of the NZDF Leadership Framework and still provide the objectivity required to produce tangible realistic conclusions and recommendations.

Given the continual increase in technological complexity inherent to the FLOC 35, this paper will not examine all the feasible considerations or implications that technological development brings. It is worth noting that some consideration has been given to these technologies in the FLOC 35 in the underlying description of the operating environment, and therefore can be implied as a considered part of the requirements for NZ Army future organizational leaders.

This study will only consider how the NZDF LDS develops leaders for the NZ Army. Other services and other government departments including the Ministry of Foreign Affairs and Trade, the New Zealand Police, and many other agencies take part in the NZDF Institute of Leader Development (ILD) coursing continuum. Owing to the limited availability of their strategic documents, and the wide-ranging nature of, their directed outputs, values, vision, and leadership requirements this study will not be able to complete a study that broad in the time available.

Significance of the Study

NZDF organizational leaders drive NZ Army operations and will continue to do so well after the realization of FLOC 35. This study will add to the collective research on applied leadership upon which the NZDF LDS is based. The results of this study will also

help NZ Army identify how the NZDF LDS generates leaders to meet its operational requirements.

Summary

The operating environment for NZ Army organizational leaders as described by FLOC 35 will require technically savvy, culturally aware, ethically attuned decision makers. The NZ Army demands technical proficiency of its leaders to make decisions quickly under operationally dynamic and ethically difficult conditions. Developing the kind of leadership capable of meeting these challenges in the operational environment described in FLOC 35 requires specific tools, frameworks, and systems.

The NZDF LF forms the underlying basis of the NZDF LDS. This is the primary tool that the NZDF uses to develop organizational leaders for the NZ Army. There are a variety of leadership development models available to help organizations develop leaders but due to time constraints and other limitations this study will only analyze the NZDF LDS through three broad theories. Using these three theories this study will identify if, and where the NZDF LDS could benefit from inclusion of factors within the theories to help NZDF ILD to produce the type of leaders the NZ Army requires to realize FLOC 35.

CHAPTER 2

LITERATURE REVIEW

<u>Introduction</u>

The Primary Research Question is; How does the NZDF LDS produce organizational level leaders for the NZ Army who are trained to lead integrated land missions in a dynamic, network enabled and culturally diverse force, described by FLOC 35? This primary question can be broken down into the four secondary research questions.

The secondary research questions focus on the key components of the primary research question. In brief, how does the NZDF produce NZ Army leaders who are technically adept enough to operate in the complex operating environment described by FLOC 35? Second, how does the NZDF Leadership Development System influence NZ Army and NZDF organizational culture? Third, how does NZDF produce leaders who are ethically and culturally aware. Finally, what are some other methods that NZDF could use or utilize to develop organizational leaders?

This literature review is organized in three broad topic groups. The strategic and operational concepts that are critical to defining the FLOC 35 operating environment, The NZDF LDS, and the three theories against which to compare the NZDF LDS.

The first topic group of literature consists of the NZDF Strategic concepts, and the NZ Army Future Land Operating Concept. These are the capstone operating concepts that underpin the operational environment and provide a vision for what is required of the NZ Army organizational leader in 2035.

The second topic group will be composed of NZDF Leadership Doctrine, the NZDF LF and the NZDF LDS. These documents provide the foundation of the case study and describe the way the NZDF develops leaders for the NZ Army.

The third topic group consists of other leadership models. This topic group will be broken down into three respective parts: complexity, transformational, and ethical leadership theories. These will form the comparative measures to assess the NZDF Leadership Development System against and provide the basis to draw deductions about how the NZDF LDS achieves the principles of each of these models. These models have been specifically selected based on an assessment of leadership in the operating environment described in FLOC 35. Further, they will generally align with the premise of the secondary research questions. It will also include other relevant leadership studies and doctrine that have been sourced through U.S. Army Command and General Staff College course materiel, doctrinal endnotes, and bibliographic information from other studies.

Topic 1: NZDF Strategic and Operational Concepts

The New Zealand Ministry of Defence in its *Strategic Policy Statement 2018* states; "New Zealand will … face intensifying disruptors closer to home. Climate change, transnational organized crime, resource competition, together with increasing influence and presence of non-traditional partners, will disrupt our neighborhood, including our extensive maritime area, in complex and compounding ways."[10] The former New Zealand Minister of Defence, Mr. Ron Mark states in his foreword to the *New Zealand*

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[10] New Zealand Ministry of Defence, *Strategic Defence Policy Statement 2018* (Wellington: New Zealand Government, 2018), 7.

Defence Capability Plan 2019, "As the rate of technological change accelerates, so too will the complexity of our strategic environment."[11] The plan goes on to describe that the NZDF must contribute to a variety of operational tasks, specifically in the Southwest Pacific. This may include leading multinational operations to promote security, resilience, and regional peace.[12]

The FLOC 35 frames these requirements specifically for the NZ Army. It uses the term "Integrated Land Missions" to describe the NZ Army's directed outputs. Former Chief of Army Major General Peter Kelly describes the operational environment in his foreword. "A scan of the horizon sees an operating environment marked by shifting regional power balances, an increase in hybrid threats, rapid population growth, and the rise of climate change. This will require land and special operations forces that can work effectively in a wide range of environments and with many actors."[13] The FLOC 35 goes on to suggest that; "To succeed in the future operating environment, the NZ Army will require a qualitative edge based on highly trained and motivated soldiers who are ethical, physically tough and well equipped."[14] It is clear that these documents all point to a series of requirements for organizational leaders.

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[11] New Zealand Ministry of Defence, *New Zealand Defence Capability Plan 2019* (Wellington: New Zealand Government, 2019), 3.

[12] Ibid., 9.

[13] NZDF, FLOC 35, 3.

[14] Ibid., 11.

"Technological development will continue, with many sectors continuing to see developments at exponentially faster rates."[15] The complexity, of this operational environment will require leaders who are able to understand emerging weapon systems, network enablement, and information sharing. Additionally, the operational environment will require leaders who can wield systems powered by concepts like quantum computing, machine learning, and artificial intelligence.[16] Further, they will have to be enabled to lead through this technology, interpret it, and guide other technical staff to achieve operational goals.

A complicating factor in developing leaders in a military organization is the amount of time between the development of doctrine and the time it takes for the development of the leaders to implement it. Further, the soldiers that will enact the doctrine of 2035 are in kindergarten today. By the time they join the army they will likely be self-assured, networked, and purpose-driven. It is also likely they will be more technically adept than previous generations of soldiers. "They will be more urbanized, educated, multi-cultural and, as a cohort, they will be initially less physically and mentally resilient than their predecessors."[17] This increasing urbanization and multi-cultural nature coupled with the interconnectedness of human interaction will require leaders who have the right ethical balance and cultural awareness in their decision making. This balance will be underpinned by the NZ Army Values: Courage,

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[15] NZDF, FLOC 35, 10.

[16] Ibid., 16.

[17] Ibid., 18.

Commitment, Comradeship and Integrity.[18] "For their part, our people must commit to the ethics and values of the NZ Army and through their actions build its mana."[19]

<div align="center">Topic 2: NZDF Leadership Doctrine and The NZDF Leadership Framework</div>

NZDF Leadership doctrine is the basis for the analysis within this research project. The New Zealand Defence Doctrine Publication (NZDDP)-00.6, *Leadership* is the overarching doctrine for NZDF Leadership at all levels. It "provides a clear and shared understanding of the role of leadership within the NZDF. It provides assistance on understanding the complexity of leadership within a military context and how the NZDF supports the development of its leadership capability in dealing with this complexity."[20] It describes the six founding principles that are relevant to all levels of leadership and that form the basis of the NZDF Leadership Framework (LF) (see Figure 1).

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[18] NZDF, NZDDP-00.6, 58.

[19] NZDF, FLOC 35, 3. Mana is a Te-Reo Maori word defined as: prestige, authority, control, power, influence, status, spiritual power, charisma - *mana* is a supernatural force in a person, place or object. John C. Morefield, "Mana," Te Aka Maori Dictionary, accessed November 11, 2021, https://maoridictionary.co.nz/word/3424

[20] NZDF, NZDDP-00.6, iii.

Figure 1.   The Six Key Elements of the NZDF Leadership Framework

Source: New Zealand Defence Force Institute for Leadership Development, *Lead Capability Transition Guide,* Leadership Development Guide (Trentham: New Zealand Defence Force, 2020), 6.

Chapter 2 of the NZDDP-00.6 describes the NZDF LF in detail. "This framework provides a clear picture of the expectations of leaders and followers in the NZDF."[21] The NZDF LF is broken down into six key elements and twenty-seven essential tasks (see Figure 2).[22] The NZDF Institute for Leadership Development *Lead Capability Transition Guide* focuses on the key elements and essential tasks at the Lead Capability level.[23] Lead Capability represents the peak transition from direct level leadership to organizational level leadership. "The successful transition to this level requires Lead

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[21] NZDF, NZDDP-00.6, iv.

[22] Ibid., x.

[23] NZDF ILD, *Lead Capability Transition Guide,* 8.

Capability leaders to master new knowledge in four particular elements of the LF: Ethos and Values, Think Smart, Build Positive Culture and Mission Focus."[24]
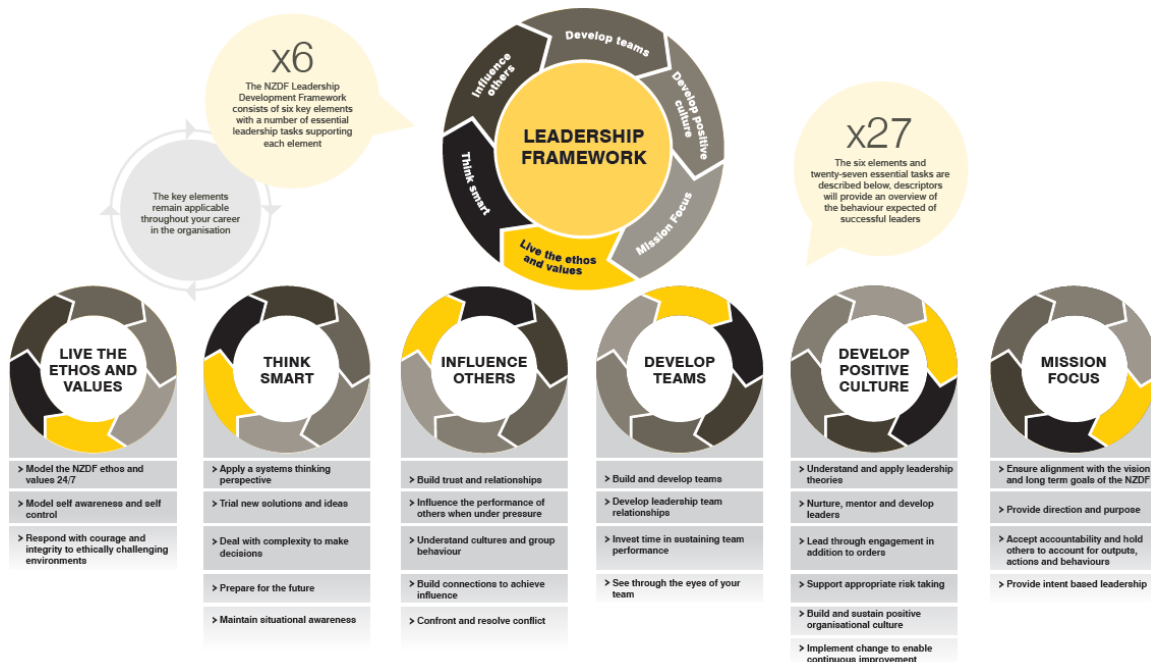
Figure 2.   The NZDF Leadership Framework

Source: New Zealand Defence Force, New Zealand Defence Doctrine Publication-00.6, *Leadership* (Wellington: Headquarters New Zealand Defence Force, 2018), 24.

The LDS consists of the tools and methods the NZDF ILD applies to develop leaders at all levels. It consists of three main development mechanisms.[25] Structured development, guided development, and self-development.

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[24] NZDF ILD, *Lead Capability Transition Guide,* 25.

[25] Ibid., 21.
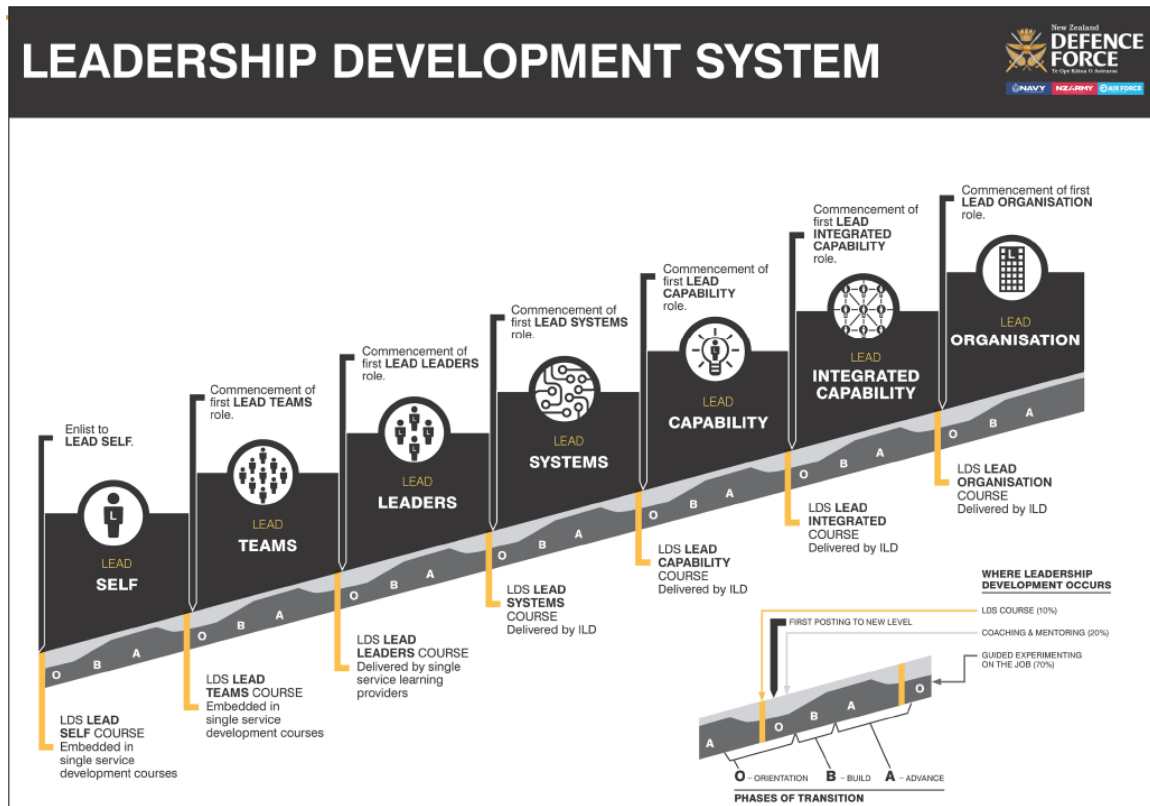
Figure 3.   The NZDF Leadership Development System

Source: New Zealand Defence Force Institute for Leadership Development, *Lead Capability Transition Guide,* Leadership Development Guide (Trentham: New Zealand Defence Force, 2020), 22.

The Lead Self, Lead Teams and Lead Leaders levels described in Figure 3 represent the direct level of leadership. Lead Systems, Lead Capability, and Lead Integrated Capability are organizationally focused with Lead Capability representing the peak of the transition between direct command of soldiers and leading within an organizational structure. The Lead Organization level represents the transition from organizational level leadership to the strategic level. The military ranks that these levels apply to are described in Figure 4.

ALL	TRANSITION ONE	TRANSITION TWO	TRANSITION THREE	TRANSITION FOUR	TRANSITION FIVE	TRANSITION SIX
ALL	MIDSHIP / OCDT	JUNIOR OFFICER		LTCDR / MAJ / SQNLDR	CDR / LTCOL / WGCDR	CAPT(N) / COL / GPCAPT	CDRE+ / BRIG+ / AIRCDRE+
ALL	AR / PTE / AC LCPL / LAC LR / BDR / CPL	PO / SGT	CPO / SSGT / F/SGT WO	TIER 5 WO	TIER 4 WO	TIER 3 WO+
ALL	E7 - 11	E12 - 14	E15 - 17	E18 - 20	E21 - 24	SM1 - 2	SM3+

LEAD ORGANISATION

LEAD INTEGRATED CAPABILITY

LEAD CAPABILITY

LEAD SYSTEMS

LEAD LEADERS

LEAD TEAMS

LEAD SELF

Figure 4.   The NZDF Leadership Levels

Source: New Zealand Defence Force Institute for Leadership Development, *Lead Capability Transition Guide,* Leadership Development Guide (Trentham: New Zealand Defence Force, 2020), 9.

Structured development consists of the formal leadership development coursing undertaken by all NZDF officers.[26] For the NZ Army the ILD coursing continuum reflects one of a series of trade, and army specific promotion requirements. These army specific promotion requirements include service specific training and trade specific coursing as well as ILD coursing at specific levels relevant to experience and the expectations of the individual's new rank on promotion.

Guided development consists of the coaching that one leader receives from another.[27] This is usually formally mandated in a hierarchical structure and for the NZ

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[26] NZDF ILD, *Lead Capability Transition Guide,* 21.

[27] Ibid.

Army often lines up with Personnel Digital Reporting (PDR) lines, the official rating

chain within the organization. Less formally, mentoring arrangements are a common way

to execute guided leadership development; this is strongly encouraged in many NZ Army

units and mandated in orders in others.

Self-development includes all the additional leadership development an individual

conducts on their own. This may include using workbooks and leadership tools provided

for this purpose by the ILD, and any personal professional development that the

individual undertakes through self-directed study.

The *Leadership Development System Lead Capability Course Workbook* includes

a variety of foundational leadership theories that support lead capability leaders in

understanding and interpreting organizational culture. These theories provide lead

capability leaders the tools to understand and interpret organizational culture, and enable

performance of the essential tasks associated with the Key Elements described in Figure

2. Some of the theories include the tools for identifying, managing, analyzing, and

changing organizational culture. The tools provided in the *Lead Capability Workbook*

that consider organizational culture include the Schein iceberg theory of organizational

culture,[28] the Hofstede onion model,[29] and McKinney's 7S model,[30] and the Kotter model of change management.[31]

<u>Topic 3: Complexity, Transformational and Ethical Leadership Theories</u>

The following sub-sections consist of a series of leadership resources used not only in part by the NZDF LDS, but also by other militaries and many civilian sector organizations. They will be described in three parts: complexity leadership, transformational leadership, and ethical leadership.

<u>Topic 3A: Complexity Leadership</u>

The science of the application of military capabilities to achieve an operational end-state is inherently a superbly complex task. The NZ Army is a significantly complex system, and the operating environment of the FLOC 35 is likely to bring additional complexity. In these types of systems, the obvious solution is unlikely to provide the desired or the expected results, and any solution is likely to spur additional problems.[32] To solve these kinds of complex problems requires an innovative, flexible, and adaptive approach that reflects the increasing rate of change in the operational environment.

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[28] New Zealand Defence Force Institute For Leadership Development (NZDF ILD), *Leadership Development System: Lead Capability Course Workbook* (Trentham: New Zealand Defence Force, 2018), 134-135.

[29] Ibid., 143-145.

[30] Ibid., 150-152.

[31] Ibid., 81-89.

[32] Peter M. Senge, "Systems Principles for Leadership," in *Transforming Leadership: From Vision to Results*, ed. John D Adams (Alexandria: Miles River Press, 1986), 133.

"[T]oday's organizations must take advantage of deep specialized knowledge and manage knowledge integration across these domains of expertise at the same time."[33] Application of military science requires considerable knowledge of interactive systems, from lethal mechanical systems to operational design and personnel management to political and social dynamics.

The following excerpt from the article, "Complexity Leadership Theory: From the Industrial Age to the Modern Era," describes the difference between complicated and complex systems.

> If a system can be described in terms of its individual constituents (even if there are a huge number of constituents), it is merely complicated; if the interactions among the constituents of the system, and the interaction between the system and its environment, are of such a nature that the system as a whole cannot be fully understood simply by analyzing its components, it is complex.[34]

The intangible nature of the emerging operating environment and the complexity of orchestrating and coordinating battlespace effects makes modern military leadership, by definition a complex task. FLOC 35 describes the emerging operating environment; "In operational settings military decision-makers will be faced with chaotic, complex, and competitive situations. In organizational settings, decision-makers will need to make long-term investment decisions that balance competing needs across an increasingly

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[33] Amy C. Edmonson and Jean-Francois Harvey, *Extreme Teaming: Lessons in Complex Cross-Sector Leadership* (Bingley: Emerald Publishing Limited, 2017), 4.

[34] Mary Uhl-Bien, Russ Marion, and Bill McKelvey, "Complexity Leadership Theory: Shifting Leadership from the Industrial Age to the Knowledge Era," *The Leadership Quarterly* (August 2007): 302.

complex and integrated organization."[35] Either of these could easily fit the description of complex adaptive systems. (CAS):

> CAS are neural-like networks of interacting, interdependent agents who are bonded in a cooperative dynamic by common goal, outlook, need, etc. They are changeable structures with multiple, overlapping hierarchies, and like the individuals that comprise them, CAS are linked with one another in a dynamic, interactive network.[36]

"Complexity Leadership Theory is a framework for leadership that enables the learning, creative, and adaptive capacity of complex adaptive systems (CAS) in knowledge-producing organizations or organizational units."[37] It is broken down into three broad facets: Adaptive Leadership, Administrative Leadership, and Enabling Leadership. Each of these facets will be described below.

Adaptive Leadership

The first of these broad facets of Complexity Leadership Theory is Adaptive Leadership. Adaptive Leadership is described by Uhl-Bien, Marion, and McKelvey as:

> Adaptive Leadership is defined as emergent change behaviors under conditions of interaction, interdependence, asymmetrical information, complex network dynamics, and tension. Adaptive Leadership manifests in CAS and interactions among agents rather than in individuals and is recognizable when it has significance and impact.[38]

Because of the evident complexity in military systems Adaptive Leadership could easily apply to the organizational leadership level of the NZ Army. Adaptive Leadership

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[35] NZDF, FLOC 35, 59.

[36] Uhl-Bien, Marion, and McKelvey, "Complexity Leadership," 299.

[37] Ibid., 305.

[38] Ibid., 309.

could be considered a tool to help innovation and to spur creative thinking within the organization. In his School for Advanced Military Studies Monograph, "Empowering Army leadership for Future High-Intensity Conflicts: Assessing Army Leadership Doctrine," MAJ David Kim stated: "Adaptive Leadership seeks to embrace the interactive dynamics associated with asymmetry of preferences as opposed to asymmetry of authority. Examples of preferences are knowledge, skills, norms, and values."[39] Examples of some of these preferences for the NZ Army include the NZDF values, organizational and unit culture, and operational concepts such as the FLOC 2035. While these kinds of preferences are dynamic, the Lead Capability leader is likely to be able to influence the implementation and development of these in an intermediary role between strategic guidance and direct application.

Adaptive organizational leaders form an important link between the strategic, and direct level. Peter Northouse describes Adaptive Leadership simply in his book, *Leadership Theory and Practice*. "[Adaptive Leadership] focuses primarily on how leaders help others to do the work they need to do, in order to adapt to the new challenges they face."[40] This definition links directly to the role of the Lead Capability leader as an agent for change within the NZDF organizational structure.

[39] David Kim, "Empowering Army Leadership for Future High-Intensity Conflicts: Assessing Army Leadership Doctrine," (Monograph, School of Advanced Military Studies, US Army Command and General Staff College, 2020), 26, https://cgsc.contentdm.oclc.org/digital/collection/p4013coll3/id/4070/rec/42.

[40] Peter Northhouse, *Leadership Theory and Practice* (Los Angeles: SAGE Publications, 2019), 258.

Administrative Leadership

This aspect of Complexity Leadership Theory constitutes a critical requirement for future army leaders. "Administrative Leadership refers to the actions of individuals in formal managerial roles who plan and coordinate organizational activities."[41] Inescapably the NZ Army in the future will be subject to the rigorous transactional bureaucracy that governs any public sector organization. Understanding these administrative mechanisms is a critical component of military leadership and good management of these factors could be considered a combat multiplier. All operational environments are subject to bureaucratic requirements. The organizational leader is a center point for this variety of leadership. They make decisions in the administrative world that affect all other types of leadership in complex operating environments. The interaction between the adaptive and administrative parts of the NZ Army and the NZDF must be enabled by Lead Capability leaders.

Enabling Leadership

Enabling Leadership is the type of leadership that brings the administrative and the adaptive parts of an organization together to produce results. Defined by Uhl-Bien, Marion, and McKelvey:

> Enabling leadership manages the entanglement between administrative and adaptive leadership; this includes managing the organizational conditions in which adaptive leadership exists and helping disseminate innovative products of adaptive leadership upward and through the formal managerial system.[42]

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[41] Uhl-Bien, Marion, and McKelvey, "Complexity Leadership Theory," 306.

[42] Ibid., 309.

The organizational level leader has a specific role in establishing the environment that enables the cooperation of the adaptive, and administrative systems within the NZ Army and the NZDF. At Lead Capability level this represents a specific role in interpreting the system to enable subordinates, or other parts of the NZDF to act towards a strategic end. "Enabling leaders are organizational architects that promote interactions between CAS. At the organizational level, scheduling, creating rules, and organizing the physical work space all help promote interaction."[43] All of these describe baseline expectations of leaders at the organizational level. Understanding the interactions between the administrative, and adaptive parts of the NZDF is a critical enabling role of the Lead Capability leader.

These Adaptive, Administrative and Enabling Leadership frameworks will inform the evaluation criteria for comparison of the NZDF Leadership Development System against Complexity Leadership Theory and will provide the complexity lens for the purpose of this study.

<u>Topic 3B: Transformational Leadership</u>

A significant component of the NZDF Leadership Development System draws its foundation from Transformational Leadership theory.

> Transformational leaders act as agents of change by arousing and transforming followers' attitudes, beliefs and motives from a lower to a higher level of arousal. They provide vision, develop emotional relationships with followers and make them aware of, and believe in superordinate goals that go beyond self-interest.[44]

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[43] Kim, "Empowering Army Leadership for Future High-Intensity Conflicts," 27.

[44] John Antonakis and Robert House, "The Full Range Leadership Theory: The Way Forward," in *Transformational and Charasmatic Leadership: The Road Ahead*, ed.

The NZDF DDP-006 suggests that individual leadership style can change based on context, and over time is likely to move along a scale between transactional and transformational. Organizational level leaders must be comfortable with this and adjust their style to specific circumstances. At the organizational level the NZDF *Lead Capability Transition Guide* states; "To accomplish this, Lead Capability leaders need to step up to Transformational Leadership."[45] It emphasizes leading by example, articulating a precise and measurable vision, and living by a clear set of values.

Antonakis and House in their article, "The Full-range Leadership Model: The Way Forward," describe the five factors of Transformational Leadership; idealized influence based on attributes, idealized influence based on behavior, inspirational motivation, intellectual stimulation, and individualized consideration.[46] Yukl describes these factors as behaviors, and combines the two forms of idealized influence into a single behavior.[47] Owing to Yukl's succinct and detailed interpretation of Transformational Leadership much of the NZDF Leadership Doctrine reflects these behaviors, and for some parts the doctrine is written based on the Yukl theory. Yukl further provides a set of six simple guidelines for transformational leaders that provide contextual behaviors for comparison against the NZDF LDS in this study. Each of the six

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Bruce J. Avolio and Francis J. Yammarino (Bingley: Emerald Group Publishing Limited, 2007), 8.

[45] NZDF ILD, *Lead Capability Transition Guide,* 25.

[46] Antonakis and House, "The Full Range Leadership Theory," 8-9.

[47] Gary Yukl, *Leadership in Organizations,* 6th ed. (Hoboken, NJ: Perrson Prentice Hall, 2006), 263.

guidelines developed by Yukl is important for developing a clear understanding of an approach to Transformational Leadership. A brief description of each follows to provide context for the analysis later in the paper.

Articulate a clear and appealing vision. Leading through an organizational vision is a critical component of transformational leadership. "[A] leader can increase intrinsic motivation by increasing the perception of followers that task and objectives are consistent with their authentic interests and values."[48] The US Army Command and General Staff College leadership curriculum includes the following definition of an organizational vision: "A picture of the future framed by a values-based purpose that creates a path to drive behavior, change and motivation."[49]

Explain how that vision can be attained. An organizational vision that is unrealistic or disconnected from an end-state is unlikely to contribute positively to the organizational outlook. "It is not enough to articulate an appealing vision; the leader must also convince followers that the vision is feasible."[50] The NZDF DDP-006 states "Followers need to be convinced of the relative merits of each endeavor through engagement with the leader—or their intent and vision—before sincerely committing to it."[51]

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[48] Yukl, *Leadership in Organizations,* 264.

[49] Kevin Gentzler, "Defining Organizational Vision," (Unpublished article, US Army Command and General Staff College, 2018), 2.

[50] Yukl, *Leadership in Organizations,* 275.

[51] NZDF, NZDDP-00.6, 8.

Act confident and optimistic. Yukl asserts, "Followers are not going to have faith in a vision unless the leader demonstrates self-confidence and conviction."[52] According to Peter Northouse transformational leaders "are confident, competent articulate and express strong ideals."[53] It is clear than optimism and confidence are important aspects of the application of transformational leadership.

Express confidence in followers. As well as presenting behavior that is self-confident and optimistic, a transformational leader must also express the confidence in their followers. "It is especially important to foster confidence and optimism when the task is difficult or dangerous, or when team members lack confidence in themselves."[54] By setting optimistic but obtainable goals and understanding the potential within their team, a leader communicates a level of confidence in their subordinates that leads to positive morale and self-esteem of the team members. It is important that a transformational leader celebrates the accomplishments of their team and empowers both the team and its individual members to achieve the stated goals.[55]

Use dramatic symbolic actions to emphasize key values. "A vision is reinforced by leadership behavior that is consistent with it."[56] "The transformational approach also requires that leaders become social architects. This means that they make clear emerging

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[52] Yukl, *Leadership in Organizations,* 257.

[53] Northouse, *Leadership Theory and Practice,* 178.

[54] Yukl, *Leadership in Organizations,* 276.

[55] Northouse, *Leadership Theory and Practice,* 177-178.

[56] Yukl, *Leadership in Organizations,* 276.

values and norms of the organization."[57] In a military context, this may be as simple as commending someone for good work or applying disciplinary consequences for actions in violation of the Army Values.

Lead by example. Leading by example allows a leader to set a personal example of the behaviors that they consider important to the team. Setting and explaining team and individual tasks and following through on their stated commitments and objectives proves to subordinates that their leader shares their struggle, ambition, and achievement.[58] "Being an exemplary leader requires you to live the values. You have to put into action what you and others stand for. You have to be the example for others to follow."[59]

The NZDF Leadership Doctrine reflects in some detail the theory of transformational leadership. Each component of Yukl's theory is important to producing leaders who can understand the organizational culture within the NZDF and the NZ Army. Transformational leadership is therefore a critical mastery for NZ Army leaders in support of FLOC 2035.

Topic 3C: Ethical Leadership

The FLOC 35 describes an operating environment that will require leaders to make decisions in ethically challenging and morally ambiguous situations. Understanding

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[57] Northouse, *Leadership Theory and Practice,* 178.

[58] Ibid., 176.

[59] James M. Kouzes and Barry Z. Posner, *The Leadership Challenge: How to Make Extraordinary Things Happen in Organizations* (Hoboken, NJ: John Wiley and Sons Inc., 2017), 73.

the organizational values is not enough to enable a Lead Capability leader to execute

decision making under these conditions. Critical to enabling leaders to make ethically

sound decisions is the understanding of their own ethical alignment and the conditions

relevant to their decision. "Of necessity, leadership must proceed from a strong ethical

base in persons such as military officers, who require intellect and intuition to see beyond

immediate problems and actions in their search for the common good."[60]

Ethical leadership for the NZDF and therefore for the NZ Army is based on the

NZDF Ethos and Values. "The NZDF Ethos and Values are also founded on high

expectations of ethical conduct and compliance with the laws of New Zealand, and can

be stated as: being accountable for your actions, and serving New Zealand loyally,

honorably, and with pride."[61] The FLOC 35 describes Ethical Leadership linked to the

NZ Army purpose; as an ethical force, the NZ Army must maintain a strong moral

compass and empathy for those who it is sent to protect, while remaining a potent and

effective fighting force.[62]

Ethical Leadership is more than knowing the NZDF values. Finding solutions to

ethically demanding problems requires a leader to not only understand the values, but

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[60] Patrick Mileham, "Armed Forces Officership - An International Capability," in *Routledge Handbook of Military Ethics*, ed. George Lucas (New York: Routledge, 2015), 177. ProQuest Ebook Central, http://ebookcentral.proquest.com/lib/carl-ebooks/detail.action?docID=2057960.

[61] NZDF, NZDDP-00.6, 9-10.

[62] NZDF, FLOC 35, 58.

also to live by them and enact ethical reasoning in decision making based on them.[63] The

ethical dynamic of organizational leadership is in the application of the individual moral

principles which guide a leader to making what they believe to be the right decision.

"There is an increasing realization today that organizational leaders need to be more

sensitive to their moral obligations to the larger society, which includes all their

stakeholders such as consumers, employees, suppliers, governments, local

communities."[64] This is no less true in the uniquely military operational context

described by the FLOC 35.

An ethical decision making theory that considers the ethical dynamics of decision

making for organizational level leaders is the ethical triangle described by Dr. Jack Kem.

It provides an ethical decision-making tool that assists a leader in making a choice when

caught in an ethical dilemma.[65] An ethical dilemma occurs when a person must make a

choice between two right decisions, as a choice between wrong action and right action

does not provide an ethical person any real dilemma. The ethical triangle is based on a

balance of three theories of applied ethics: principles-based ethics, virtues-based ethics,

and consequences-based ethics[66]

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[63] Headquarters, Department of the Army, Army Doctrine Publication 6-22, *Army Leadership and the Profession*, with Change 1 (Washington, DC: Army Publishing Directorate, 2019), 2-7.

[64] Manuel Mendonca and Rabindra Kanungo, *Ethical Leadership* (New York: Open University Press, 2007), 4, ProQuest Ebook Central, http://ebookcentral.proquest.com/lib/carl-ebooks/detail.action?docID=316303.

[65] Jack D. Kem, "Ethical Decision Making Using the Ethical Triangle," (Leadership Instruction Notes, US Army Command and General Staff College, 2016), 5.

[66] Ibid., 5-6.

THE ETHICAL TRIANGLE

Principles
"Act as if the maxim of your
action was to become a
universal law of nature."
What rules exist?
What is my moral obligation?

Consequences
"Do what produces the greatest
good for the greatest number."
What gives the best "bang for the buck?"
Who wins and loses?

Virtues
Golden Rule: "Do to others what
you would have them do to you."
What would Mom think? WWJD?
What if my actions show up on the front page?

Figure 5.   The Ethical Triangle

Source: Jack D. Kem, "Ethical Decision Making Using the Ethical Triangle,"
(Leadership Instruction Notes, US Army Command and General Staff College, 2016), 5.

Dr. Kem provided a model for ethical decision making based on the ethical

triangle. His model is described in 6 steps:

1. Define the problem in terms of the ethical dilemma,

2. Consider courses of action,

3. Test the courses of action against each corner of the ethical triangle,

4. Consider whether there are any alternative courses of action,

5. Make a decision, and,

6. Implement the decision.[67]

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[67] Kem, "Ethical Decision Making Using the Ethical Triangle," 7-9.

The Ethical Triangle Decision Making Model

| 1 | * Truth v. Loyalty   * Individual v. Community   * Short-term v. Long-term   * Justice v. Mercy |

Step 1. Identify the ethical dilemma in terms of right versus right.

Step 2. Determine possible actions.

Step 3. Examine actions (alternative courses of action) through the lens of the three ethical systems.
- 3a. Principles-based ethics
- 3b. Consequences-based ethics
- 3c. Virtues-based ethics.

Step 4. Step back and see if a "third" response, or an alternative COA presents itself.

Step 5. Make a choice.

Step 6. Implementation.

3a **Principles**

Consequences 3b   **Virtues** 3c

Figure 6.   The Steps of the Ethical Triangle Decision-Making Model

Source: Jack D. Kem, "Ethical Decision Making Using the Ethical Triangle," (Leadership Instruction Notes, US Army Command and General Staff College, 2016), 8.

The Ethical Triangle will form the primary ethical leadership theory for comparison of the NZDF LDS in this study.

Summary

The FLOC 35 identifies a significantly complex emerging operating environment for organizational level leaders. This environment meets the provided description of a complex adaptive system and poses a significant leadership challenge out to 2035.

The NZDF LDS described above provides the NZDF ILD a method for developing leaders to achieve the competencies and behavioral descriptions provided in the NZDF LF which is laid out in NZDF Leadership Doctrine.

The Complexity Leadership Model provides three leadership concepts. Adaptive Leadership, Administrative Leadership and Enabling Leadership. These concepts will be used as a lens through which this study will consider complexity leadership within the NZDF LDS.

Transformational Leadership theory provides another method of producing organizational leaders to meet the demands of FLOC 35. Yukl's guidelines for transformational leadership describe a set of guidelines that will be used as the lens through which the NZDF LDS will be considered to meet the demands of FLOC 35.

The ethical triangle decision making model provides a series of steps to consider when making a decision in terms of an ethical dilemma. These steps will be used as a comparative ethical leadership tool to consider how the NZDF LDS is applying the ideas of Ethical Leadership to the development of NZ Army leaders for FLOC 35.

The following methodology will explain how these tools will be used in this comparative case study to examine the NZDF LDS.

CHAPTER 3

RESEARCH METHODOLOGY

<u>Introduction</u>

This study will be taken as a qualitative methodology, particularly a modified case study method that considers what the potential leadership environment for the FLOC 35 and what are some of the identifiable features of an effective leader in that operational environment. Secondly, it will examine the NZDF LDS as the primary leadership development tool used by the NZDF to produce NZ Army leaders to meet these requirements. The LDS will then be considered through the frameworks of Complexity Leadership, Transformational Leadership and Ethical Leadership. Conclusions will then be drawn based on these considerations as to what perspectives differ between the frameworks, and whether there are any lessons that could be taken from these three theories and applied to NZ Army leaders to enable FLOC 35.

<u>Method</u>

This research will be conducted as a case study combined with textual analysis of the source documents for the NZDF and LDS and LF *Lead Capability Transition Guide* and the *Lead Capability Course Workbook*. The primary case will consist of the NZDF LDS that was described in chapter 2 and consists of a variety of tools and models. This study will identify which tools the LDS uses primarily for developing organizational leadership at the Lead Capability level. These tools will be compared against the three specific leadership theories described in topic three of the above literature review.

Using these leadership theories, and the identified concepts or foundation building blocks of them will provide a framework through which to consider the NZDF LDS. It will also provide the opportunity to make recommendations about the potential for any of these theories in the NZDF LDS and how the concepts from the theories could improve the LDS in respect to producing leaders who meet the requirements for FLOC 35.

Data Collection

To assess the NZDF LDS, the researcher will compile data directly from the doctrinal concepts and teaching documents used for instruction by the NZDF ILD. Once the data is compiled, the researcher will analyze this information by comparing it to Complexity Leadership, Transformational Leadership and Ethical Leadership theories.

Data Analysis

This study will draw out the concepts behind each of the comparative leadership artifacts and consider how the NZDF LDS addresses each of these concepts. Once an assessment of the NZDF LDS has been made based on the applied leadership models, this study will consider if the assessed concepts meet the requirements for the FLOC 35. This will provide conclusions based on each of the research questions as to how well the NZDF LDS prepares leaders in terms of each of these areas. This analysis will generate an assessment of the areas where the NZDF LDS is meeting the requirements for FLOC 35, and where gaps exist in the LDS. This will result in recommendations for improving the LDS to meet the requirements of the future operating environment. Table 2 provides an overview of the theoretical concepts for analysis broken down by theory and supporting concept for the analysis of the case and literature in this study.

Table 1.   Concepts Within the Applied Leadership Theories

Complexity Leadership	Transformational Leadership	Ethical Decision Making
Administrative Leadership	Articulate a clear and appealing vision	Define the problem in terms of the ethical dilemma
Enabling Leadership	Explain how that vision can be attained	Consider the courses of action
Adaptive Leadership	Act confident and optimistic	Test the courses of action against each corner of the ethical triangle
	Express confidence in followers	Consider alternative courses of action
	Use dramatic, symbolic actions to emphasize key values	Make a decision
	Lead by example	Implement the decision

Source: Created by author.

The analysis will be conducted by interpreting the case documents and comparing the concepts within the NZDF LF and LDS against the specific theoretical concepts in each leadership theory, which are outlined in Table 1 above. The researcher will interpret the NZDF LDS and LF Lead Capability documents and identify how the Lead Capability course examines, includes, or delivers these concepts. The researcher will make an assessment about whether the Lead Capability documents contextually align with each theoretical concept by directly comparing each concept with the NZDF LDS and LF to determine conceptual similarity. The researcher will identify where the concepts do not align by identifying divergence from, or absence of the theoretical concepts within the case documentation. The following figure displays this logic flow pictorially.
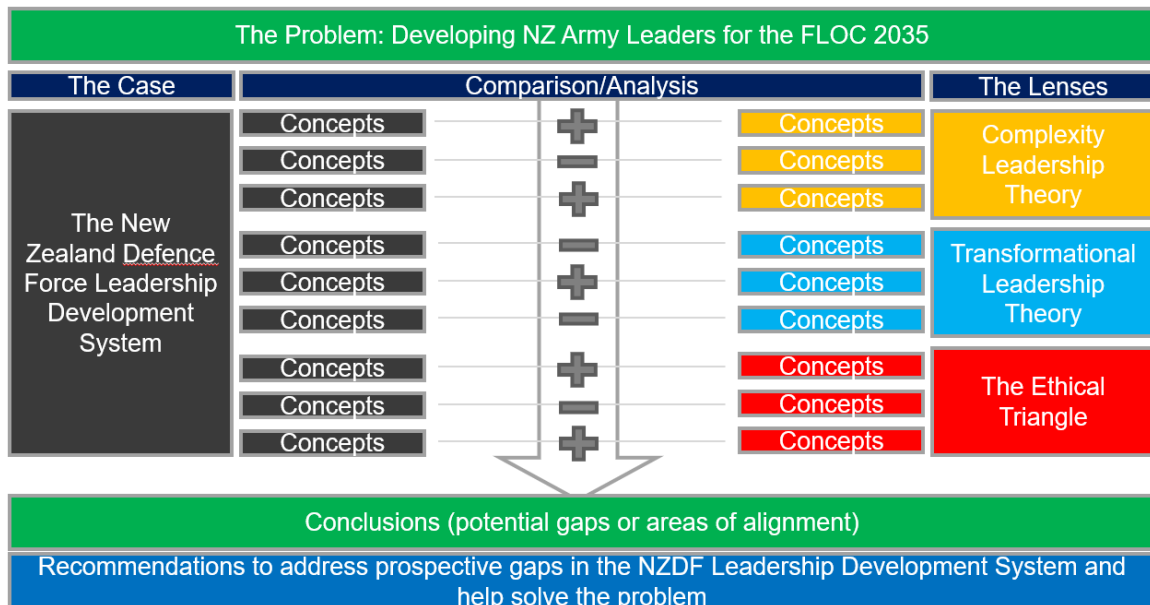
Figure 7.   Research Methodology Logic Diagram

Source: Created by author.

The researcher will then summarize in chapter 4 if the theoretical concepts are applied within the LDS and LF. Where the theoretical concepts are not applied within the NZDF LDS represents a gap in the LDS. This analysis will be presented in a tabular format similar to the following table.

Table 2.   Data Presentation Example

Theoretical Concept	Assessment
Factor 1	+
Factor 2	-

Source: Created by author.

Each factor of the theoretical concept will be considered by the researcher and an assessment will be made as to whether the NZDF LDS or the LF applies a competency that is aligned with that of the theoretical concept. An assessment where the analysis indicates the factor is applied will be marked with a plus (+). Where the assessment based on the analysis indicates a factor is not applied the assessment column will be marked with minus (-).

The analysis will be presented in three sections, reflective of the three leadership theories identified in part 3 of chapter 2. Each section will be broken into sub sections that consider each of the leadership concepts (described in Table 1) of the models against the NZDF LDS. These sub sections are structured in three parts, the first summarizing the theoretical description of the concept, the second providing the analysis of where and how the concept is applied in the LDS, and the third identifying any prospective gaps between the LDS and the overall leadership theory.

Ethical Considerations for this Study

The primary ethical concern of this study is understanding and controlling personal bias in the research analysis. To maintain objectivity, the researcher designed this methodology to include a diverse range of leadership models as comparative tools to consider the NZDF LF as the primary case. Owing to the qualitative nature of the study and the fact that the study does not include human subjects there are no other significant ethical considerations for the collection of this data.

Summary

The above comparative case study will provide the framework to analyze the NZDF LDS against three established leadership theories. By using the behavioral descriptors of the applied leadership theories, this comparative method will allow for critical analysis of the behavioral models of the NZDF LDS and generate recommendations as to how that system could be enhanced with an eye to producing organizational leaders to realize FLOC 35.

CHAPTER 4

ANALYSIS

To meet the demands of the operating environment described by FLOC 35 the NZ Army requires leaders who are adept in complexity, that can enact change and make decisions quickly under operationally dynamic and ethically difficult conditions. This development must be provided using suitable tools, frameworks, and systems to grow leaders who can interpret and purposefully influence these operating environments.

NZDF Leadership Doctrine as developed based around the NZDF LF. This framework describes the competencies and behaviors that the NZDF believes are required of leaders across all levels of the organization. The NZDF ILD develops leaders for the NZ Army using the NZDF LDS. This system consists of seven levels. This analysis will focus on the peak of the transition to organizational level leadership: the Lead Capability level. The Lead Capability course documentation including the *Lead Capability Course Workbook* and the *Lead Capability Transition Guide* will form the base documents of the analysis. The concepts contained in those documents will be analyzed against the frameworks outlined in Table 1 of Complexity Leadership Theory, Transformational Leadership Theory, and Ethical Decision Making using the Ethical Triangle.

This chapter will be organized into three sections, reflective of the three leadership theories. Each section will be broken into sub sections that consider each of the theoretical concepts (described in Table 1) against the NZDF LDS. These sub sections are structured in three parts, the first summarizing the theoretical description of the concept, the second providing the analysis of where and how the concept is applied in

the LDS, and the third identifying any prospective gaps between the concept applied by the LDS and the overall leadership theory.

Section 1: Complexity Leadership Theory

Complexity Leadership is a framework for considering leadership dynamics in relation to hierarchical bureaucratic superstructures.[68] Complexity leadership theory identifies the subsystems within organizations as complex adaptive systems. The NZDF and by extension the NZ Army are such systems. Specifically, the operational environment described by the FLOC 35 identifies NZ Army operations as significantly complex and inherently adaptive. Complexity Leadership Theory deals with leading through this kind of complexity by breaking Complexity Leadership into three major concepts. Administrative Leadership, Enabling Leadership and Adaptive Leadership. While the NZDF LDS does not deliberately deal with these specific concepts, some of the concepts in the LDS and some of the competencies from the LF consider or include complexity.

Part 1: Administrative Leadership

Administrative leadership described by Mary Uhl-Bien, Russ Marion and Bill McKelvey refers to the leadership of bureaucratic process and procedure required within organizations without which the organization is incapable of functioning.[69] For complexity leadership this includes planning, financial management, and identifying and

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[68] Uhl-Bien, Marion, and McKelvey, "Complexity Leadership Theory," 313.

[69] Ibid., 306.

setting conditions for strategic implementation. Administrative leadership is considered a hierarchical function in that it requires the authority of a leader to enable action. Typical military processes that are administrative in nature, such as personnel reporting, resource management, Standard Operating Procedure (SOP) development and the variety of personnel administrative processes require decision authority at the organizational level.

The NZDF LDS makes some reference to this leadership concept and many of the competencies listed in the NZDF LF require, or imply, that an organizational leader is capable of Administrative Leadership. The LDS specifically identifies personnel management as a critical role of the lead capability leader and devotes an entire section of the LDS workbook to the concept of coaching. The LDS requires organizational level leaders to understand these processes and identifies tools for 360-degree reporting, and leadership assessment as foundations of Administrative Leadership and, leadership in general.

Table 3.   Administrative Leadership Analysis Summary

Administrative Leadership Functions	Assessment
Administrative Leadership	+

Source: Created by author.

Part 2: Enabling Leadership

Enabling Leadership is the concept within complexity leadership theory that links administrative leadership with the concept of adaptive leadership. It provides the leadership that sets the conditions for adaptive leadership to drive organizational

adaption.[70] Enabling Leadership functions are often conducted by organizational level leaders. Often the organizational leader lacks the decision authority but understands how to enable Adaptive Leadership. The Enabling Leadership concept of Complexity Leadership Theory includes the functions described in the table below.

Table 4.   Enabling Leadership Functions

Enabling Leadership Functions
Enable conditions that catalyze adaptive leadership
Managing the relationship between adaptive and administrative leadership
Management of innovation to organization interface

Source: Created by author.

Enabling the Conditions that Catalyze Adaptive Leadership

Enabling the conditions that catalyze adaptive leadership requires a leader to foster interaction, interdependency, and inject adaptive tension. Fostering interaction refers directly to understanding and driving the linkages and relationships between the nodes within a complex network. CAS such as the military rely on these networks to function and understanding how the parts of the network interact and how other networks interact is crucial in enabling adaptive leadership.

Fostering interdependency creates the conditions under which agents within networks must act. It takes the interaction between CAS and manipulates them through conflicting constraints. Conflicting constraints occur where one complex adaptive system

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[70] Uhl-Bien, Marion, and McKelvey, "Complexity Leadership Theory," 205.

must have a specific condition to function, and another must not have that same condition.[71] This conflict forces agents within complex adaptive networks to adapt to continue to function, which sets the conditions to enable adaptation within and between networks.

This interdependency between networks and systems generates tension. Organizational level leaders generate tension by manipulating networks and systems to be interdependent thereby generating the impetus to create functional adaption. This in turn provides the driving force behind critical and creative thinking, innovation, and organizational change.

The catalytic function of Enabling Leadership is not directly addressed by the LDS; however, some aspects of this function are examined tangentially within the student workbook. The Kotter model is used within the LDS to describe leading change in organizations.[72] Kotter's model has elements similar to enabling the conditions that catalyze adaptive leadership. The first step of the Kotter model is to generate a sense of urgency. Generating a sense of urgency aligns with the nested ideas of fostering interaction, interdependency, and injecting tension in that they are methods by which an organizational leader may generate a sense of urgency and therefore set the conditions to force organizational change.

The catalytic function of Enabling Leadership within Complexity Leadership Theory is aligned with the first step of the Kotter change model in that they both aim to

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[71] Uhl-Bien, Marion, and McKelvey, "Complexity Leadership Theory," 310.

[72] NZDF ILD, *Leadership Development System,* 83.

generate organizational change through manipulation of networks, agents, or conditions that drive adaptation. Where there is a prospective gap between the two is in the description of the mechanism of generating tension. Enabling Leadership describes in reasonably simple steps how an organizational leader could understand the complexity within the organization. It then describes conceptually how a leader might manipulate CAS to enable, or force adaption. The Kotter model described in the LDS acknowledges that a sense of urgency is critical to driving organizational change and that this sense of urgency is a significantly difficult condition to achieve. The LDS suggests that identifying and discussing crises, potential crises or emerging opportunities is sufficient to drive organizational change.

<u>Managing the Relationship between Adaptive and Administrative Leadership</u>

The relationship between adaptive and administrative leadership generates a difficult pinch point for enabling leadership that requires specific management. Administrative leadership represents the formal arrangements that maintain organizational function, compliance and procedures that serve to set strategic frameworks and end states. Adaptive leadership represents the informal, dynamic systems within an organization that enable it to evolve, maintain relevance and optimize to achieve the same ends.[73] Managing the relationship between the two concepts often falls to an organizational level leader to interpret and enable both forms of leadership simultaneously. This may be as simple as leveraging one to enable the other, but often times within an organization such as the NZDF managing the relationship may require

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[73] Uhl-Bien, Marion and McKelvey, "Complexity Leadership Theory," 306.

detailed planning, interpretation of policy, influencing networks, balancing efforts, applying resources and speaking truth to power.

The NZDF LDS considers this management relationship in several different ways. The LDS refers to the NZDF LF which describes "influence others" and "think smart" as key elements, both of which are broken down into specific competencies. Influence others includes "Build connections to achieve influence," and "confront and resolve conflict" two specific competencies at the Lead Capability level that play into managing the gap between NZDF administrative process and innovation to generate organizational change. The key element "think smart" includes the competencies "apply a systems thinking perspective," and "trial new solutions and ideas." These competencies focus on the management of change processes and innovation.[74]

Lead Capability leaders must have the skills to enable organizational change to meet specific operating concepts such as FLOC 35. The LDS *Lead Capability Transition Guide* clearly describes the requirement for Lead Capability level leaders to understand and interpret orders, strategic guidance, and to implement change through continuous improvement.[75] This again identifies the management of the relationship between the administrative artifacts of the NZDF and the requirement for creative or adaptive thinking to realize effectiveness and efficiency. The LDS *Lead Capability Transition Guide* also describes speaking truth to power under the unique value add at the Lead Capability level

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[74] NZDF ILD, *Lead Capability Transition Guide,* 13.

[75] Ibid., 14.

in the chapter "provide the unvarnished truth upwards." This is a unique value add at the organizational level and a targeted learning objective of the Lead Capability Course.[76]

The LDS and the LF are well aligned with the specific function of managing the relationship between adaptive and administrative leadership. While the LDS does not specifically address the function, it certainly covers the concept in enough detail to enable organizational level leaders to understand their role as an enabler of organizational change, adaption, and innovation.

<div align="center">Management of Innovation to Organization Interface</div>

This function of Enabling Leadership serves to join the dots between the innovative edge of an organization, and the decision makers that hold authority over the administrative approval for such innovations. Managing this gap requires organizational level leaders to navigate the aspects of organizational policy to identify where flexibility in the administrative system allows for innovation. Setting the conditions for organizational innovation is crucial to enabling adaptive leadership within complex adaptive systems. Enabling leadership at the organizational level contributes to policy and procedure and has an influence within both the administrative and adaptive sub systems to co-ordinate and enable innovation.

The LF addresses this aspect of Complexity Leadership Theory primarily within the Think Smart key element of the framework. The specific value adds for Lead Capability leaders include being creative and prepared to experiment, dealing with complexity, and providing clarity of administrative policies and procedures that enable

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[76] NZDF ILD, *Lead Capability Transition Guide,* 26.

innovation for their team.[77] The competencies within this key element are deal with complexity to make decisions, trial new solutions and ideas, and prepare for the future.

The LDS covers some of these elements within the *Lead Capability Course Workbook* in the chapter about how to apply appropriate decision-making techniques. This chapter of the workbook includes an article from *Harvard Business Review* by Snowden and Boone which uses the Cynefin framework to describe a complex domain and goes on to provide tools for managing when working in a complex context.[78]

Managing the interface between the innovative edge of an organization and the administrative conditions within that organization is a critical element of Enabling Leadership that is included in the NZDF LF within the think smart key element and sub competencies. These concepts are also taught in the Lead Capability course through providing a description of the complex domain of the Cynefin framework and including some tools associated with managing activities in the complex domain.

Table 5.   Enabling Leadership Analysis Summary

Enabling Leadership Functions	Assessment
Enable conditions that catalyze adaptive leadership	-
Managing the relationship between adaptive and administrative leadership	+
Management of innovation to organization interface	+

Source: Created by author.

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[77] NZDF ILD, *Lead Capability Transition Guide,* 12.

[78] NZDF ILD, *Leadership Development System,* 92-98.

While the NZDF LDS does not explicitly describe the concept of Enabling Leadership within complexity theory, it covers many of the functions contained within the concept. For a Lead Capability organizational leader, the concept of Enabling Leadership is concerned with linking nodes within the inherently complex system that is the NZDF. This is a critical function within an operational staff, capability development structure, or inside a tactical unit. The function involves both the think smart, and influence others key elements of the LF. While think smart and influence others do not directly address the functions of Enabling Leadership, both certainly have a focus on enabling creative thought and innovation that is critical in generating NZ Army leaders for enabling FLOC 35.

<center>Part 3: Adaptive Leadership</center>

Administrative Leadership is concerned with the rules, procedures, structures, and authorities within an organization, and Enabling Leadership deals with the interface between adaptive leadership and administrative leadership. Adaptive Leadership within Complexity Leadership Theory is concerned with leading the collaborative social sub-systems that help to generate adaptive outcomes within a given system.[79] Adaptive Leadership is considered using the factors in Table 6.

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[79] Uhl-Bien, Marion and McKelvey, "Complexity Leadership Theory," 306.

Table 6.   Adaptive Leadership Functions

Adaptive Leadership Functions
Network Dynamics
Emergence
Multilevel Adaptive Leadership

Source: Created by author.

Adaptive Leadership is not an individual action but represents the collaborative contextual leadership and the creative critical thought between associated CAS. To consider this in common military parlance, this is not about an individual leader within the staff, but about the adaption that occurs as a result of the inputs of a group of specialist staff members between their respective warfighting functions. This is a particularly important concept for Lead Capability leaders, as many of the positions that organizational level leaders may hold on an operational staff represent CAS that cannot individually deliver an effect, but must integrate and innovate with other staff functions in order to achieve battlespace effects. This represents an ongoing theme in the FLOC 35 of the emergent operating environment, the complexity thereof, and the challenge of wielding a military staff to achieve a mission.

Network Dynamics

Network dynamics considers the context and mechanisms that generate adaptive change. The interaction between complex adaptive systems and the conditions, conflicts, patterns and tensions provides the context for innovation. The mechanisms such as information flow, pattern recognition and, generation of dynamic and resonant processes

within systems provide the framework for turning creative ideas into adaption. Adaptive Leadership occurs within the context of and in the interface between complex adaptive systems. Understanding these network dynamics allows an organizational level leader to harness the divergence of creative thought within a network of CAS.

The LF articulates systems thinking in a similar context as part of the think smart key element and includes the competency–apply a systems thinking perspective. The LDS identifies network dynamics in the "Think System Act Local" chapter of the *Lead Capability Course Workbook* and provides some tools for a leader to consider how they specifically add value at the organizational level. The workbook provides systems thinking as a tool for understanding how CAS interact. It provides some guidelines for how to apply a systems perspective and provides some contextual reading about systems thinking in military context in the article *Leadership and Systems Thinking,* written by Colonel George E Reed.[80]

The LDS and LF cover the concepts of Network Dynamics in a much simpler and therefore more easily applied manner than that of Complexity Leadership Theory. Where Complexity Leadership Theory is fundamentally scientifically precise, the systems thinking approach is simpler to interpret and therefore is more useful as a tool for understanding network dynamics in the context of NZDF.

<u>Emergence</u>

The emergence factor of Adaptive Leadership is described in Complexity Leadership Theory as consisting of two major interdependent components. The first

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[80] NZDF ILD, *Leadership Development System,* 109-113.

component is the reformulation of existing systems and nodes including the transformation, amplification combination and interaction of elements under nonlinear tension. The second component is the process of self-organization for the purpose of increasing complexity to spur creativity and innovation. These components provide conditions for creative thought, innovation, and adaption to emerge. Understanding how these adaptions emerge is fundamental to Adaptive Leadership

One of the underlying specific competencies identified by the LF considers both of these components. The influence others key element, includes the competency "build connections to achieve influence" within that competency, the leadership framework describes application of emergent behavior and self-organization as a fundamental skill.[81]

The LDS provides a conceptual description of emergence using the Cynefin framework. While the LDS and the LF do not specifically cover the concept as detailed as it is laid out in Complexity Leadership Theory, the LF and LDS certainly describe the concept of emergence in the context of systems thinking, the Cynefin framework, as well as including it within a fundamental Lead Capability leadership competency. The LDS covers, albeit very simply, the conditions under which emergence occurs. Additionally, within the context of the LF competencies, how emergence is achieved by Lead Capability leaders is described in the LDS.

<u>Multilevel Adaptive Leadership</u>

Multilevel adaptive leadership describes how Adaptive Leadership is applied at different levels within a hierarchical organization. Briefly, it considers how at strategic

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[81] NZDF ILD, *Leadership Development System,* 257.

levels in an organization adaptive leadership consists largely of emergent planning and resource allocation. At organizational levels, adaptive leadership consists of focusing on planning for and generating emergent contexts. For direct level leaders, adaptive leadership includes acting on this planning and applying creative thinking and directing innovation in accordance with the organizations emergent planning.[82]

The LDS describes the hierarchical construct of NZDF leader development very specifically with some adaptive leadership context at all levels across the LF. The Think Smart and Influence Others key elements, and their underlying competencies cover emergence, and fostering innovation with a future focus at five of the seven levels of the LDS. Specific to the Lead Capability level the LDS describes the organizational level of Adaptive Leadership. It includes specific value adds in terms of critical and creative thinking and considers emergent and self-organized planning to be fundamental sub competencies.

While the LDS does not make specific reference to multilevel adaptive leadership, conceptually the function is considered within both the LF and the LDS. It is considered in the Lead Capability workbook which provides tools to help organizational level leaders consider Adaptive Leadership Concepts.

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[82] Uhl-Bien, Marion and McKelvey, "Complexity Leadership Theory," 309.

Table 7.   Adaptive Leadership Assessment Summary

Adaptive Leadership Functions	Assessment
Network Dynamics	+
Emergence	+
Multilevel Adaptive Leadership	+

Source: Created by author.

Summary

Complexity Leadership Theory is not specifically included in the LDS *Lead Capability Transition Guide* nor the *Lead Capability Workbook*. Many of the concepts and functions of Complexity Leadership Theory are tangentially considered within the LF key elements of Influence Others and Think Smart. The LDS describes many of these concepts within the concept of systems thinking and uses the Cynefin framework to illustrate some of the challenges of operating in the complex domain. While Complexity Leadership Theory may be scientifically sound, its application to the NZDF LDS would prospectively overcomplicate some of the leadership concepts found in the LDS.

Conceptually some elements of Enabling Leadership could usefully augment the systems thinking perspective. Specifically enabling the conditions that catalyze adaptive leadership could be an alternative method of thinking about the first step in a change management model, similarly to the first step of the Kotter model. Further, understanding the administrative-adaptive interface could be an alternate explanation of systems thinking at the Lead Capability/organizational level. This being a key output for the FLOC 35, Complexity Leadership Theory potentially represents an opportunity for Lead Capability leaders to consider an alternative viewpoint to systems theory.

<u>Section 2: Transformational Leadership</u>

In his paper, "Transformational Leadership and the New Zealand Defence Force: Supporting Effective Organizational Change," Ian Brandon made a series of recommendations as to how the NZDF could benefit from including Transformational Leadership in its doctrinal approach to leadership.[83] Since his paper was published the NZDF has released two iterations of NZDDP 006, *Leadership*, both of which have included Transformational Leadership. The key element Develop Positive Culture, articulates: understand and apply leadership models, which is underpinned by the specific competency–"Apply the transformational leadership model in conduct of your role."[84] This section will analyze the NZDF LF and the LDS through the lens of Transformational Leadership and identify where and how the concepts of Transformational Leadership are applied and what tools are provided for lead capability leaders to enable Transformational Leadership.

For this analysis Transformational Leadership will be considered using the six functions described in table 8 below.

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[83] Ian Brandon, "Transformational Leadership and the New Zealand Defence Force: Supporting Effective Organizational Change," (MMAS Thesis, US Army Command and General Staff College, 2016).

[84] NZDF ILD, *Leadership Development System,* 257.

Table 8.　　The Functions of Transformational Leadership

Transformational Leadership
Articulate a clear and appealing vision
Explain how that vision can be attained
Act confident and optimistic
Express confidence in followers
Use dramatic, symbolic actions to emphasize key values
Lead by example

Source: Created by author.

Articulate a Clear and Appealing Vision

Articulating a clear and appealing vision is the first function within the concept of Transformational Leadership as it serves to set the end-state for subordinate leaders to follow. At the organizational level, this represents the synthesis of organizational strategic goals into an achievable end-state as well as an understanding of the values and the culture of the organization and the mechanisms and drivers that enable change within the organization.

The NZDF LF considers the articulation of a vision at the Lead Capability level within the key element Mission Focus. While this key element does not directly address the establishment of an organizational level vision it links to the behavioral competency "ensure alignment with the vision and long-term goals of the NZDF." Some of the statements associated with the Develop Positive Culture key element also reflect creating an organizational level vision, but do not explicitly state establishment of a vision as a behavioral competency.

The LDS contains an overview of Transformational Leadership which includes establishing a vision as part of the summary of Bernard Bass's Inspirational Motivation component. Additionally, the LDS indicates "creating a positive vision of the future with a team" is part of Transformational Leadership. The *Lead Capability Transition Guide* indicates the importance of transformational leadership to the NZDF in this statement "Lead Cap Leaders need to step up to Transformational Leadership. This emphasizes challenging followers with high standards, articulating vision with precision and power, having a clear set of values and demonstrating them in every action."[85]

The LDS does not provide any further understanding of how to generate an organizational level vision and does not specifically include any tools for Lead Capability leaders to do so within their organizations. As the establishment of an organizational vision is such a critical component of the theory of Transformational Leadership, creating an organizational vision stands as a prospective gap in the Lead Capability instructional material.

<u>Explain How that Vision Can be Attained</u>

Explaining how the vision can be attained follows immediately on from articulating a clear and appealing vision. Not only communicating the vision itself but also generating organizational understanding of the logical process to achieving that vision is crucial to enabling followers to act in line with that vision. Describing how the vision links with organizational strategy, and therefore how a subordinate organization vision contributes to a higher end-state is an important aspect of generating a vision

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[85] NZDF ILD, *Lead Capability Transition Guide,* 25.

particularly for the lead capability leader. Yukl suggests that the steps to attaining a vision should be straightforward, and logical, but not so simple as to seem conventional or simplistic, lest they erode the subordinate's confidence in their leader.[86]

The ILD *Lead Capability Transition Guide* states specifically that Lead Capability leaders must master four specific focus areas. The fourth of these is "Mission Focus: translating strategy into lucid and compelling prose so actions follow their intent."[87] In the *Lead Capability Workbook*, the chapter, "Lead the Development of a Positive Culture," includes Bass's concept that a vision must be articulated in a way that generates enthusiasm in one's subordinates and optimistically compels them to work towards the vision [88]

The LDS and LF do not specifically describe a means of communicating a vision but appear to assume that a Lead Capability leader possesses the pre-requisite skills to communicate within their specific branch of the organization. The NZDF organizational tools for generating and communicating a mission and intent could substitute for guidance about crafting and communicating a vision. Those tools include orders production processes, the individual mission appreciation process or generation of command or training directives. However, none of these tools specifically address delivery of an organizational vision. Again, a useful tool to bridge this gap may be

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[86] Yukl, *Leadership in Organizations,* 275.

[87] NZDF ILD, *Lead Capability Transition Guide,* 25.

[88] NZDF ILD, *Leadership Development System,* 163.

specific instructions in the curriculum or class work about understanding and articulating a vision to enable this aspect of Transformational Leadership.

Act Confident and Optimistic

Confidence and optimism are crucial attributes that inform the nature of the relationship between a follower and a leader. A confident leader inspires a team to achieve a vision not only by crafting a clear vision, and communicating it appropriately, but also by behaving in a manner consistent with the belief that the vision can be achieved. Yukl states "followers are not going to have faith in a vision unless the leader demonstrates self-confidence and conviction."[89] This requires a leader to be, or at least act optimistic towards the achievement of their vision and confident, not only in the ability of their team, but also in their own abilities.

The LF includes these concepts within the first key element of the framework. Live the Ethos and Values includes the competencies; model the NZDF values 24/7, model self-awareness and self-control, and respond with courage and integrity to ethically challenging environments. Each of these competencies, is broken down into detailed sub-competencies that include the concepts of role-modeling, self-awareness and acting in accordance with the NZDF strategic vision.

The *Lead Capability Transition Guide* identifies being a culture guardian as a specific value add of the Lead Capability leader. This includes the concept of leading confidently and optimistically, "Lead Capability leaders are at the pointy end of role

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[89] Yukl, *Leadership in Organizations,* 275.

modelling and understand the symbolic value of leaders' actions."[90] The LDS *Lead Capability Workbook* includes this concept in the context of transformational leadership within the Bass excerpt in the chapter, "Lead the Development of a Positive Culture."[91] Acting confident and optimistic falls into the idealized influence component and is described as walking the talk. It suggests that charisma alone is not sufficient to inspire subordinates, but that demonstration of high standards of ethical and moral conduct are likely to reflect positively within the team.[92]

The LF and the LDS cover the transformational leadership concept of acting confident and optimistic in detail. A specific value add, and detailed behavioral statements within the live the ethos and values key element contribute to this learning and the transition guide provides an organizational level leader a sufficient detail about achieving this, including a brief self-assessment. There is some crossover between this attribute and the specific behavioral attributes required for leading by example.

<div align="center">Express Confidence in Followers</div>

Expressing confidence in followers flows naturally from articulating a clear and appealing vision. Subordinates who are involved with the creation of the vision and understand the elements of the vision are far more likely to accept the challenge that inherently exists in the vision. Yukl describes several ways that a leader can express this

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[90] NZDF ILD, *Lead Capability Transition Guide,* 26.

[91] NZDF ILD, *Leadership Development System,* 162.

[92] Ibid., 163.

confidence in their team in context, including examination of previous success and related examples of similar successful teams.[93]

The LF covers this guideline across three of the six key elements of leadership. The significant key element that deals with expressing confidence in followers is the develop teams key element. Specifically, the behavior descriptors associated with the competency build and develop teams assist the Lead Capability leader in building an expressing confidence in followers through team engagement and identifying and articulating indicators of success.[94]

The LDS transition guide provides a brief nonspecific description of expressing confidence in followers in the context of building a high performing team. The LDS workbook includes an excerpt from *Positive Leadership: Strategies for Extraordinary Performance* by Kim Cameron. This excerpt provides a series of mechanisms from positive leadership theory. Specifically expressing confidence in followers is reflected in the aspect of positive meaning.[95] The LDS workbook also provides a series of tools for the Lead Capability leader to use in coaching their subordinates, which represents another significant mechanism for expressing confidence in followers. These tools include a detailed block of instruction on coaching and mentoring, as well as a self-assessment and a series of practical exercises.[96]

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[93] Yukl, *Leadership in Organizations,* 276.

[94] NZDF ILD, *Leadership Development System,* 255.

[95] Ibid., 165.

[96] Ibid., 167-171.

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Expression of confidence in followers is one of Yukl's guidelines to Transformational Leadership covered in detail within the LF and the LDS. The combination of readings from Bass and Cameron as well as the coaching and mentoring instruction block provide the Lead Capability leader the tools required to express confidence in a meaningful way, as well as maintain alignment with a vision where applicable.

<div align="center">Use Dramatic Symbolic Actions to Emphasize Key Values</div>

Yukl suggests that a leader reinforces their vision through application of effort.[97] Where a leader spends time or invests personally or emotionally in an objective associated with their vision, demonstrates a level of commitment that is likely to positively influence followers.[98] This type of dramatic, symbolic gesture is likely to reinforce the way that a leader is perceived, and may become a positive influence on the organization beyond the initial measure of effort. This is a guideline that represents a significant risk to the reputation of a leader. Dramatic symbolic action applied inappropriately could provide a vastly different result than desired, and so must be measured and applied contextually and suitably to achieve the vision or objective.

The LF includes this concept within the build a positive culture key element. It is included in the behavioral competency "Build and sustain positive organizational

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[97] Yukl, *Leadership in Organizations,* 276.

[98] Ibid.

culture," specifically within the sub-competency–"Understand the symbolic value of leaders actions and apply this knowledge when making decisions and taking action."[99]

The LDS workbook and the transition guide refer to understanding the symbolic value of leader input within the unique value add at Lead Capability level of the culture guardian. This includes a block of instruction, and an individual reflective exercise designed for the Lead Capability leader to consider their role as a culture guardian. While it is not as specific as Yukl about the use of dramatic symbolic gestures, it includes a list of useable related behavioral statements.

The symbolic role of the leader is included as a specific value add for the Lead Capability leader and referenced in a behavior statement in the LF. The risk involved in the use of dramatic symbolic gestures is not specifically articulated in the LF. It is safe to assume that the Lead Capability leader has the awareness to influence their team towards their vision and it is likely that they have considered the plausible risk of the same action.

<u>Lead by Example</u>

Setting an example for subordinates to follow is a fundamental leadership skill and represents the embodiment of values in the performance of actions to achieve a vision. Yukl states that this is especially important in circumstances that are difficult, or dangerous and uses military leaders in context as an example. "Some of the most inspirational military leaders have been ones who have led their troops into battle and

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[99] NZDF ILD, *Leadership Development System,* 258.

shared the dangers and hardships rather than staying behind in relative safety and comfort."[100]

Leading by example is covered by the LF in the key element live the ethos and values, which includes several behavioral statements reflective of self-awareness, self-control, exemplifying and living by the NZDF values and leading teams to achieve the strategic vision. The LDS *Lead Capability Course Workbook* identifies role modelling as a specific value add for lead capability leaders and uses an excerpt from Bass to reinforce this guideline within a Transformational Leadership context.

As stated earlier in the paper, there is some crossover here to the application of the Transformational Leadership guidelines between acting confident and optimistic, and leading by example. The two guidelines are closely related, and it is difficult to authentically achieve one without the other. The LF and LDS cover this concept in sufficient detail to enable a Lead Capability leader to lead by example, specifically where they adhere to the specific Lead Capability behavioral statements associated with the live the ethos and values key element.

Summary

Gary Yukl's guidelines for Transformational Leadership are covered by the LDS Lead Capability documents in sufficient detail to allow a Lead Capability leader to understand and apply Transformational Leadership. It is specifically clear that the LF includes or refers to the underlying concepts of Transformational Leadership. The tools provided in the *Lead Capability Course Workbook* and the *Lead Capability Transition*

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[100] Yukl, *Leadership in Organizations,* 277.

Guide provide the basis for understanding Transformational Leadership. They provide a set of valuable reference material, and although they skim through a single detailed reading from Bass on the theory of Transformational Leadership, it is obvious that the bulk of Yukl's guidelines for Transformational Leadership have been addressed.

Table 9.   Transformational Leadership Assessment Summary

Transformational Leadership	Assessment
Articulate a clear and appealing vision	-
Explain how that vision can be attained	+
Act confident and optimistic	+
Express confidence in followers	+
Use dramatic, symbolic actions to emphasize key values	+
Lead by example	+

Source: Created by author.

The one exception is to suggest that the tools for generation and articulation of a vision are not perhaps as specific as those required at the organizational level. The implication that an organizational leader can interpret a strategic vision and then draft, and communicate a complementary organizational vision represents a prospective gap in the LDS instructional guide.

The FLOC 35 demands a transformational approach to leadership in order for the NZ Army to be able to keep up with the pace of change and the cultural complexity of the

operating environment. The LDS and the LF provide a solid foundation for producing NZ Army leaders to apply a transformational approach to their leadership style.

<div align="center">Section 3: Ethical Leadership</div>

The operational environment described in FLOC 35 requires organizational level leaders to be able to make ethically sound decisions in support of strategic aims. It is useful to consider an ethical decision-making model as a tool for an organizational level leader to use to consider the implications and results of a decision in an ethically challenging situation. The ultimate in ethically challenging situations is that of the ethical dilemma. An ethical dilemma exists when a decision maker must make a choice between two equally right decisions.

In his article, "Ethical Decision Making: Using the Ethical Triangle," Dr. Jack Kem describes such a model. The six steps of his decision-making model are described in the table below.

<div align="center">Table 10.   The Ethical Triangle Decision Making Model</div>

The Steps of the Ethical Triangle Decision Making Model
Define the problem in terms of the ethical dilemma
Consider the courses of action
Test the courses of action against each corner of the ethical triangle
Consider alternative courses of action
Make a decision
Implement the decision

Source: Created by author.

The LDS and LF also consider elements of ethical decision making. This section will break down Dr. Kem's model into each of its steps and analyze where in the LF and LDS these concepts are applied. Where they are not covered in sufficient depth will represent a gap and inform chapter 5 of this thesis.

<u>Define the Problem in Terms of the Ethical Dilemma</u>

Defining the problem in terms of right versus right is the first step in the ethical triangle decision making model.[101] Understanding the decision required and identifying it as an ethical dilemma provides the leader an opportunity to fundamentally consider the nature of their required decision. It ensures that the leader has not already made a decision and gives the decision maker the opportunity to frame their problem in terms of the common types of ethical dilemma.

The LF describes a similar behavioral competency within the live the ethos and values key element. Within the competency–"respond with courage and integrity to ethically challenging environments" detailed by the sub competency. "Recognize when posed with a potential values conflict from an external organization and stay true to the values of the NZDF."[102] This is supported in the LDS through the specific value add "provide the unvarnished truth upwards."[103] The *Lead Capability Transition Guide* includes a specific individual worksheet that a leader can use to self-assess this specific moral dilemma. The specific value add as a culture guardian includes managing stress in

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[101] Kem, "Ethical Decision Making Using the Ethical Triangle," 8.

[102] NZDF ILD, *Leadership Development System,* 256.

[103] Ibid., 208.

the face of dilemma, which is drawn from the behavioral competency, model the ethos and values 24/7. The LDS workbook includes a reading titled, "What is Truth?" by Paul Pardi. This reading describes some of the challenges posed by perspective and briefly articulates the difficulty of making the right decision.[104] Though this is indirectly related to framing a problem as an ethical dilemma, it usefully points out that ethical decision making may not be as simple as it seems.

The LDS and LF deals with the idea of ethical dilemma in an abstract manner within the live the ethos and values key element seemingly related to external relationships. It does not provide a specific description of an ethical dilemma but seems to require Lead Capability leaders to be able to identify ethical vagaries and make decisions based on the NZDF values.

Consider the Courses of Action

Considering the courses of action is not reframing the problem but examining the leader's possible responses to the dilemma that has already been framed in step 1 of the ethical triangle decision making model. This includes all possible courses of action to address the right versus right dilemma and may include taking no action at all.[105]

The LF includes courses of action in terms of decision making but does not provide any behavioral competencies related to considering a course of action from an ethical standpoint. The idea is addressed in a bespoke manner under the live the ethos and values key element but is considered in the context of "if this decision was made public."

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[104] NZDF ILD, *Leadership Development System,* 210-216.

[105] Kem, "Ethical Decision Making Using the Ethical Triangle," 8.

Lead Capability leaders are expected to be able to use decision making tools and for uniformed NZ Army leaders this is a fair concession. To transition to the Lead Capability level NZ Army leaders must have completed a variety of military specific training using a variety of course of action development tools. In terms of evaluating a course of action against an ethical dilemma, the LDS and LF do not provide any specific guidance other than a kind of gut check as to whether the individual leader would be satisfied that their decision would be ethically defensible if it was made public.

<u>Test Courses of Action against Each Corner of the Ethical Triangle</u>

Testing the courses of action against each corner of the ethical triangle refers to the philosophical alignment of the leader more than the specific course of action. Understanding one's own ethical alignment is important in this step. Dr. Kem suggests that principles-based ethics is the simplest to consider, followed by consequentialist, and lastly virtues-based ethics.[106]

As indicated above, the LF and LDS tend to frame all ethically based decision making on the NZDF core values. The behavioral statements linked to the key element live the ethos and values at the Lead Capability level are inclined towards the virtues corner of the ethical triangle, but do not provide any appropriate tools for considering the principles, or consequence based philosophical theories. This inclination covers one corner of the ethical triangle well in terms of consideration of courses of action, and arguably it could be assumed that a leader at the Lead Capability level is at least

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[106] Kem, "Ethical Decision Making Using the Ethical Triangle," 8.

cognizant of the principles and the consequentialist corners of the triangle, however the LF and LDS do not provide a specific tool for this purpose.

<u>Consider Alternative Courses of Action</u>

The purpose of this step in the ethical triangle decision making model is to provide another opportunity for the leader to examine the situation before making a decision.[107] It gives the leader another opportunity to consider other options that may have been overlooked or discarded on the first pass and could also include courses of action significantly divergent from those that were originally selected.

The LF and LDS does not consider alternative courses of action beyond the front page of the newspaper test. It implies that decisions are taken ethically but does not provide for a second round of consideration in any of the tools it presents. This step of the ethical triangle decision making model is not covered any further at the Lead Capability level in the LDS or the LF beyond the application described in step two of the process above.

<u>Make a Decision</u>

This step requires the leader to make a choice. The ethical triangle presents three foundational theories to assist the decision maker in this consideration. These should each be considered alongside the ethos, values, and culture of the organization.[108]

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[107] Kem, "Ethical Decision Making Using the Ethical Triangle," 8.

[108] Ibid., 9.

The LF includes three key elements that cover the latter part of the factors for consideration: Live the Ethos and Values, Develop Positive Culture, and Mission Focus. Several specific behavior descriptors within these key elements address the NZDF ethos and values, understanding NZDF Culture, and ensuring decisions are made in line with the NZDF and individual service strategy.

The LDS *Lead Capability Transition Guide* addresses this component of the ethical triangle decision making model in the description of the Key Element "Respond with courage and integrity to ethically challenging environments." It describes values as a tool to assist leaders to make decisions and to help address ethical dilemma.[109]

The LDS *Lead Capability Course Workbook* approaches the topic of making an ethical decision in the synopsis & homework following the: article, "What is Truth?" by Paul Pardi. It states, "As a leader your view of truth (conscious or unconscious) will affect how you: make decisions on what matters; show up to work; raise your children; approach conflict; and understand and relate to others."[110] This is followed by a short individual homework assignment that considers how the concepts addressed in the article could influence a decision maker in a variety of contexts.

The concepts held in the article, "What is Truth?" consider a related philosophical context to the three corners of the ethical triangle decision making model. They are considered in a less specific context within the LDS and do not describe a specific

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[109] NZDF ILD, *Lead Capability Transition Guide,* 12.

[110] NZDF ILD, *Leadership Development System,* 219.

decision-making tool but are covered comprehensively in the article and associated individual consideration exercises.

<u>Implement the Decision</u>

The implementation of the decision is the part of the decision-making model that puts together all the previous steps. The decision should have been well considered by this point against each of the corners of the ethical triangle, as well as aligned with the values and beliefs within the organization.[111] It is at this point where the decision is put to action. In a military context this is the part of the process that requires moral fortitude particularly where decisions are made under time and tactical imperatives.

The primary key elements in the LF that guide Lead Capability leaders in implementing an ethical decision are live the ethos and values, and mission focus. Live the ethos and values describes the essential tasks, modeling the ethos and values, awareness and self-control and responding with courage and integrity to challenging circumstances. Further, the mission focus key element provides the essential tasks; provide direction and purpose, accept accountability, and hold others to account, and provide intent based leadership. Each of these essential tasks serve as enabling behaviors to execute a decision.

The LDS addresses some of these within the turn strategy into action value add. Specific behaviors described above from the leadership framework are included in an individual consideration exercise. While not related directly to ethical decision making,

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[111] Kem, "Ethical Decision Making Using the Ethical Triangle," 9.

this represents an opportunity for Lead Capability leaders to reflect on their decision making style, and how they execute tasks and objectives.

The LF and LDS consider related key elements, essential tasks and value adds that include conceptually the task of implementing the decision. They reference the moral and ethical components required of a decision maker in enacting a decision once it is made.

<u>Summary</u>

The LF and LDS use the article, "What is Truth?" in the context of an ethical reflection exercise. They provide an opportunity for leaders to consider their own interpretation of the ethical theories described in the article and provide some guidance in the form of a synopsis as to what a leader should take away from the reading. This links directly to the specific value adds for a Lead Capability leader and to the key elements, essential tasks and behaviors required of a Lead Capability leader.

Table 11. Ethical Triangle Decision Making Model Assessment Summary

The Steps of the Ethical Triangle Decision Making Model	Assessment
Define the problem in terms of the ethical dilemma	-
Consider the courses of action	+
Test the courses of action against each corner of the ethical triangle	-
Consider alternative courses of action	+
Make a decision	+
Implement the decision	+

Source: Created by author.

What the LF and LDS do not provide is a specific ethical consideration or decision-making tool for organizational level leaders. Dr. Kem provides a simple tool that in six steps assists a leader with considering their decision from an ethical standpoint. It is based on simple philosophical concepts that provide an ethical guide to making a choice when a leader is caught in an ethical dilemma. While the LDS steers this toward virtue in the form of the NZDF Values it is almost exclusively focused on that particular corner of the triangle where the ethical triangle decision making model provides the context to help a leader consider a broader ethical approach to decision making in ethically challenging circumstances.

<div align="center">Analysis Findings Summary</div>

The comparative analysis of the NZDF LF and the LDS against Complexity Leadership Theory, Transformational Leadership Theory and The Ethical Triangle Decision Making Model yielded the following assessment. The LDS and the LF generally cover most of the factors held within the three theories, with some minor exceptions based on the assessment of the researcher.

<div align="center">Table 12.   Overall Analysis Summary</div>

Theory	Assessment
Complexity Leadership Theory	+
Transformational Leadership Theory	+
Ethical Leadership	+

Source: Created by author.

Specifically, to Complexity Leadership Theory the assessment of the Lead Capability application of enabling conditions that catalyze adaptive leadership represents a potential gap. While this is loosely covered by systems theory an emphasis on the role of the Lead Capability leader as an enabling function, similar to the function of Enabling Leadership may prove a useful addition to the provided material.

The gap identified in the LDS and LF application of Transformational Leadership is concerned with articulating an organizational vision. The LDS does not provide a specific tool for a Lead Capability leader to use to construct their own organizational vision. Given that articulating an appealing organizational vision is so fundamental to the theory of Transformational Leadership, it stands to reason that a specific tool would be useful to include in the Lead Capability course instruction.

The primary gap identified using the Ethical Triangle Decision Making Model as a comparative measure is in comparing the courses of action against each corner of the ethical triangle. These gaps exist because the NZDF Values are used as the ethical basis for decision making in the LDS and LF. Virtue only makes up one corner of the ethical triangle. The NZDF LDS application of these factors does not adequately consider the Principles or Consequences corners of the ethical triangle. This leaves the ethical consideration in the LDS unbalanced in terms of ethical decision making. Providing a tool to Lead Capability leaders such as the Ethical Triangle Decision Making Model may help a leader consider their ethical decision making from a different perspective and overall assist in better ethical understanding.

Overall, the above analysis presents an assessment that the NZDF LDS and LF are sufficient to produce leaders for NZ Army to realize the concepts in the FLOC 35.

The gaps identified above represent areas where specific tools, or variation of instruction could strengthen the LDS and LF at Lead Capability level.

CHAPTER 5

CONCLUSIONS AND RECOMMENDATIONS

This chapter will specifically answer the four secondary research questions, and the primary research question laid out in chapter 1 of this thesis. It will break down each secondary research question and summarize the analysis from chapter four and link the findings to the FLOC 35. It will then answer the primary research question and provide some recommendations as to how some specific tools could enhance the LDS.

The FLOC 35 has identified that the operating environment for NZ Army leaders is likely to be technically complex and ethically challenging. This study examined the NZDF LDS from an NZ Army perspective. It identified the NZDF LF as the primary tool that the NZDF uses to develop leaders and a variety of other tools within the LDS that are used to enhance the Lead Capability leader's understanding of the LF.

This study identified two prospective gaps in the LDS. The first gap is that there is no specific tool provided for a Lead Capability leader to generate an organizational level vision. The second gap is the absence of an ethical decision-making model. The recommendations below are linked to these gaps and consider how the tools identified could be used to enhance the effectiveness of the model in developing the leaders necessary for the future of the NZ Army.

Secondary Research Question 1

How does the NZDF LDS produce NZ Army leaders who are able to operate in a complex operating environment?

Complexity leadership was considered in this study by examining the LDS through the lens of Complexity Leadership Theory. The LDS provides a systems thinking approach to leadership that broadly covers many of the aspects of Complexity Leadership Theory.

Administrative Leadership is a simple concept within Complexity Leadership Theory that is well considered by the LF and taught in detail within the LDS. The hierarchical nature of the military makes Administrative Leadership a well understood area in leadership development.

The LDS applies the concept of Systems Thinking to consider leading through complexity. The area that the LDS systems thinking concept covers the least, and perhaps an area for further consideration is that of Enabling Leadership. Specifically at the Lead Capability level, the FLOC 35 expects leaders to be able to understand not only the capability that they are contributing to the battlespace, but also, the relevant factors within the operating environment, and how their specific function enables other functions within the system. This clearly represents a complex adaptive system, and while the Lead Capability leader may not have the immediate authority to make decisions to generate battlespace effects, they clearly sit in a position that enables orchestration of these effects. Understanding and manipulating these enabling systems is a critical role at the Lead Capability level and while systems thinking captures this, Enabling Leadership may provide an alternative method to achieve the same development.

Adaptive Leadership provides a theory for enhancing innovative outcomes within an organization. The LDS in its systems thinking approach provides a similar conceptual outcome that is more suited for delivery to Lead Capability leaders. While this type of

leadership is important at the direct level of leadership, the theory of Adaptive Leadership within Complexity Leadership Theory is assessed as being overcomplicated for Lead Capability level. The systems thinking approach that the LDS uses as the framework for considering leading through complexity is sufficient to achieve the complexity leadership competency required of Lead Capability leaders for FLOC 35.

<p style="text-align:center"><u>Secondary Research Question 2</u></p>

How does the NZDF Leadership Development System influence NZ Army and NZDF organizational culture?

Influencing NZDF and NZ Army culture is identified within the Leadership Framework as a Key Element: Develop Positive Culture. This includes specific Essential Tasks focused on producing a positive and nurturing leadership culture at the Lead Capability level.

The NZDF LDS uses a variety of tools to consider organizational culture. It identifies several methods of assessing or considering organizational culture including Mckinneys 7S's, the Hofstede (onion) model, and, Schein's iceberg model of organizational culture, and identifies Transformational Leadership as the primary tool for influencing culture at the Lead Capability level. These models are well explained in the LDS course workbook, and each have individual reflective exercises that enable the lead capability leader to understand how they might use these models to influence the culture and climate within their organization. This application of Transformational Leadership is well aligned with the leadership requirements articulated in the FLOC 35 and provides a conceptual and well-balanced approach to producing leaders for the future capable of influencing organizational culture.

How does the NZDF LDS develop organizational level leaders who are culturally and ethically aware?

Ethical leadership was examined in this study by considering the NZDF LF and LDS through the lens of the Decision Making Using the Ethical Triangle.

The NZDF LF primarily leverages the NZDF Values to provide ethical alignment at the organizational level. The Key Element: Live the Ethos and Values includes several behavioral descriptors related to ethical choices and ethically challenging environments as well as understanding one's own leadership style. This provides a heavy virtue-based approach to ethical decision making but does not provide a specific tool for understanding or executing decisions in ethically demanding environments.

The LDS uses the article, "What is Truth?" to help a Lead Capability leader consider how their own interpretation and philosophical alignment may influence their decision-making, and while it is not a specific decision-making model it provides a useful individual reflective opportunity. This enables an organizational level leader to consider their own style but stops short of providing a tool for considering ethical decision-making.

What other methods of developing organizational leadership could be used to augment the NZDF LDS in support of integrated land missions in a dynamic, network enabled and culturally diverse force?

This study identified two prospective gaps in the NZDF LDS that could be filled using tools identified within Chapter 2 of this thesis.

The first tool that may provide a useful augmentation to the NZDF LDS is Dr. Gentzler's short paper that describes the three respective parts of, and a useful guide for creating an organizational vision. This would provide a simple and effective tool to set Lead Capability Leaders into the first step of the Kotter change model, and therefore potentially enhance the application of Transformational Leadership across the NZDF, including the NZ Army for FLOC 35.

The second tool identified within this study that may enhance the NZDF LDS is that of Dr. Jack Kem's Ethical Decision Making using the Ethical Triangle. This short paper provides a succinct discrete process for an organizational leader to understand the ethical nature of a situation, and subsequently make a decision in an ethically challenging context. It includes a militarily relevant description of appropriate philosophical theories that underpin the decision-making model and therefore provides a more balanced tool for considering an ethical dilemma.

Primary Research Question

How does the NZDF Leadership Development System produce organizational level leaders for the NZ Army who are trained to lead integrated land missions in a dynamic, network enabled and culturally diverse force, described by FLOC 35?

The primary tool that the NZDF LDS uses to develop NZ Army leaders to meet the challenges of FLOC 35 is the NZDF LF. The framework is broken into specific value adds at the organizational or Lead Capability level. These value adds are described in detail within the LDS *Lead Capability Transition Guide* and are further broken down into essential tasks and behavioral descriptors that are directly linked to the NZDF LF. The LDS *Lead Capability Course Workbook*, further describes the expectations associated

with these value adds, and provides appropriate reading material, leadership and culture models, coaching advice and reflective exercises to help Lead Capability leaders understand how their own individual leadership style achieves these essential tasks.

Overall, the NZDF LDS is a robust system that enables NZDF and therefore NZ Army organizational leadership to meet the challenges of FLOC 35. It is underpinned by specific leadership doctrine, ties directly to the NZDF and single service strategies and is well nested with NZDF Values. Further the tools, theories and models described in the LDS provide a solid foundation for Systems Theory and Transformational Leadership. These two primary leadership models, which are also reflected in the competencies of the LF, are sufficient to meet the challenges of preparing NZ Army leaders for the FLOC 35.

Recommendations

The three recommendations that emerged from the analysis of the LDS through the lenses of Complexity Leadership Theory, Transformational Leadership Theory, and Ethical Decision-Making using the Ethical Triangle are as follows.

1. The NZDF ILD should consider some of the elements of Enabling Leadership at the Lead Capability level as an augmentation of Systems Theory. This will provide an alternative, but somewhat aligned aspect that could help Lead Capability leaders understand how the NZDF represents a CAS and how they might influence that system to enable creative processes, innovation, and adaptation.

2. The NZDF ILD should include some instructional material and a tool for Lead Capability leaders to use in crafting an organizational vision. This will enable Lead Capability leaders to set their individual organizational leadership

processes against a vision as described by Yukl and in turn enhance the application of Transformational Leadership across the organization.

3. The NZDF ILD should include an ethical decision-making tool in the Lead Capability course such as the ethical triangle decision making model to help Lead Capability leaders navigate ethically challenging situations. This would serve to enhance the materiel already provided in the *Lead Capability Course Workbook* and provide a theoretical foundation for analysis of individual alignment. Further it would provide a tool for Lead Capability leaders to use that directly reflects the ethical challenges of decision making in a military context.

Potential Areas for Further Study

This study examined how the NZDF LDS produces leaders for the NZ Army FLOC 35. It did not consider how the same system develops leaders for other services. This could be a specific and valuable area of further study that may enhance the LDS in pursuit of joint and combined, leadership.

Further, this study did not have access to the appropriate strategic documents to examine how other government agencies apply the LDS and its concepts. Understanding how the NZ Ministry of Foreign Affairs and Trade, the NZ Police, and other government agencies apply the LDS at an organizational level would help the ILD shape their instruction to be relevant and could further enhance interagency relationships in support of NZDF strategic guidance.

While the ethical triangle decision making model provided a relevant analytical lens for the purpose of this study, a broader look at the NZDF values and the ethical

alignment of single service values, behaviors, and leadership development would provide

additional context to understanding wider organizational ethical alignment. Examining

ethical training across direct, organizational, and strategic leadership levels may provide

further insight and assist ILD to enhance overall NZDF ethical alignment.

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