

**ZRÍNYI MIKLÓS NEMZETVÉDELMI EGYETEM  
HADTUDOMÁNYI DOKTORI ISKOLA**

**Miklós Zrínyi University of National Defense Doctoral School of Military Sciences**

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**JÁNOS TOMOLYA eng. Lt. Col.**

**Introduction by the author of the PhD Thesis**

**The Effects of NATO's New Challenges on Leading, Command  
and Establishing of Bodies of The Ground Forces of The  
Hungarian Defense Forces**

**Supervisor: Dr. György Szabó Lt. Col. Ret., PhD**

**2009, Budapest**

## 1. Actuality, definition of the academic issues

NATO has come to a historical crossroad. The Alliance faces new risks and challenges in a changing international security environment. NATO responded to these challenges by initiating an ambitious restructuring and renewal process. To handle the expected current and forthcoming challenges, the leading structure of NATO was changed and probably the most important decision was the establishing of NATO Response Forces /NRF/. The currently occurring threats differ massively in qualities and quantities to the usual ones of the 20<sup>th</sup> Century. A clear division of tasks was created between the Allied Command Operations /ACO/ and Allied Command Transformation /ACT/: ACO defines the requirements; ACT works out the training norms, gathers and processes the experiences.

Today, NATO needs the so-called “expeditionary” type armed force, which requires a different logistic background. This comes from the fact that during the Cold War NATO forces were expected to fight within or close to their own territories (except for the American and Canadian forces dispatched from North-America) and so they could have utilized the advantage of domestic logistical support. The sustaining of an expeditionary force is based on different principles, the strategic air and sea transport capabilities gain significant value. The tasks accepted with NATO membership do not mean political commitments only, but also expect the active participation in military operations under or beyond wartime circumstances. At the same time however the high level strategic decisions after the Defense Review sake to transform the Hungarian armed forces into a new organization with more compatibility to NATO alliance structures.

Transformation however was not without any issues. The first problem was the fact that the most influential externality in the transformation of HDF (Hungarian armed forces) – NATO – is in a process of transformation itself. It redefines its defense policy, restructured it on the level of ambitions, renewed its system of doctrines, and HDF has to keep up, which means that the reform of the armed forces must be carried on. In the Allied Joint Publication /AJP/ - which is still under refining - in its key doctrine AJP-01(C), in AJP-3(A) which covers the fields of operations and in AJP 3.2.2 concerning leading of land forces the main structure is divided by fields of functionality. Parallel to that, the building of the new leading structure of NATO is on its way. (Founding of ACO and ACT, reduction of numbers of command HQs, establishing of NRF, etc.) We are witnesses of far-reaching reforms on the fields of NATO Defense Planning System (switching to four-year planning instead of two-year and the introduction of the ten-year development cycle), the Operations Planning and the establishing of NATO Crisis Response System /NCRS/) as well.

The NATO summit in Prague defined the challenges which should be responded by the Alliance and the capabilities which the renewed forces must have. Since May 2004 the European Security and Defence Policy of the European Union poses as an ever stronger challenge, as the EU defines its ideas of military capability more and more concretely.

The Battlegroup concept has been realized, which means that – similarly to NRF – the EU has the capacity to deploy two battalions within 4-6 days preparation time, obviously to fulfill the so-called “Petersberg tasks”.

We should not forget of course, that the theory of military leadership evolves, changes as well within the art of war. Due to the dialectical relation of the theoretical, practical and technical background we experience the transformation of military leadership in constantly increasing rate. The ever increasing development of data transfer makes “decision-making superiority” possible for armies with state-of-the-art IT, which realizes in the speed of providing data necessary to make decision, quality and quantity of information and eventually in the speed and validity of the decision-making.

The gathering of experience on military leadership theory was a highlighted aspect of the experience gathering activities on the Iraqi war. Almost 30% of the more than 500 analysis reports made by the central experience collecting and processing unit of the US Army was related to the topic mentioned.

In the USA and later in NATO the reliable leadership principles of “leadership” and “management” – which are used successfully in large corporations, especially multinational companies – were taken over step by step. The Canadian armed forces divide their history from WW II until today into two periods: one between 1946 and 64 and one between 1964 and 2002. The first one is called “Command Era”; the second is called “Management Era”. They imagine the 21<sup>st</sup> Century „Command by Influence Era”. If we take the Canadian division as a muster, the Hungarian armed forces are still in the early ‘60s.

Of course, the new operation doctrine of the US Army, the Field Manual (FM) FM 3-0 Operations – which replaces the FM 100-5 written in 1993 and concerning operations – holds the human factor as the key factor to victory. The NATO Command and Control of Allied Land Forces /AJP 3.2.2. / highlights the human factor as the most important element as well. The rules of combat of the Hungarian armed forces – written under the Warsaw Pact membership – describes the definition of leadership as following: “*Leadership composes of leading of units and subunits, organizing the combat activities of troops and the concentration of their force capabilities on the achieving of the given goal*”.

The wartime command structure created accordingly might appeared logical by the use of ABV weapons, but did not concern with peacetime leadership at all. So its theories and practices were not developed in most cases. The changes in the goals, resources and working of the Hungarian armed forces after the Transition inspired military leaders to search for the effective methods of leadership within the framework of **restructuring**. However, they were hindered in adapting the leading principles and methods within NATO forces and especially the western leadership culture many times by the drawback effect of certain legislation and inherited leadership experiences. Since achieving NATO membership, multiple experiments were made to clarify the principles of NATO military leadership. In accordance with the facts described above a conclusion can be made that significant changes were made to the leading system of both the HDF and the kinds of forces, which meant structural transformation only and was often not in pair with the evolving of a new leadership culture. On the organizational side of the transformation, the process was started a good while ago and new staff tables were released, but in my opinion *these are not in conformity in some cases with the principles, requirements and the J-G-S system main structure model described in NATO doctrines*.

The other issue became apparent in the field of establishing a leadership culture. It is probably a valid statement, that the future of HDF will be decided by the fields of vocational training, training and education. The military technology in service and the staff table do not count anything if there are no professional, well prepared soldiers, non-commissioned officers and officers who could operate the future army. At this point we should take a look at the public support of the reform of the armed forces and of the defence policy as a whole. In my view an academic research should be made on what principles the Hungarian military leadership should be based and which requirements should be fulfilled, especially the leading system of the land forces – on which principles should it rely, which NATO requirements should be met, Should it fulfill the already mentioned, quite difficult criterias? Until my work, no in-depth research was carried out in this field that is why I chose it as my research topic, in which I came up and defined answers to the questions of the research!

I hope that due to the transformation of the armed forces, the Hungarian armed forces will truly become a capability based force soon, which cannot be led with the old traditional methods. A leadership culture has to settle down, which combines the control from above, support from below principle with the initiative from below, support from above principle.

In my opinion the new Hungarian leadership culture has to break up with the autocratic leading traditions, and knowledge-based communication and the success of individual capabilities should play a greater role in the cooperation between leaders and between leaders and subordinates, pushing back the reign by command and the formal relations between leaders and subordinates. In the middle of the leadership theory the problem-solving thinking on all levels will replace the forcing of obedience. The new “hardware” requires new “software, which is based on western leadership culture and compatible with the NATO leadership principles. In my view, there are many improvements since our NATO accession, but we are steps behind even to the member states entering the same time.

## **2. Goals and hypothesis of the academic research**

In my thesis, I defined the following goals to answer the questions defined previously:

- To define with the review of new types of challenges of international security that influential point, which could affect the HDF leading and command structure? To define and parallel the principles of leadership and the guidelines of current or previously commenced military reforms in 5 NATO countries and a neutral state (Sweden)
- To review the NATO doctrines of leadership then draw conclusions on their practical execution by reviewing the forces of the USA, UK, the Republic of France and Sweden from a leadership aspect.
- To review the current state of HDF land forces leadership and to explore the true reasons and arguments of creating the HDF JFC as a leading formation by analyzing the leadership of the Czech and Danish forces.
- To come to conclusions from the results of my research and make suggestions for further use.

## **3. Research methods**

*I have used the following methods during my research:*

- I have studied the different NATO doctrines on leadership;
- I have done targeted research after any information, publication and analysis related to the topic available on the internet;
- I have studied and analyzed conferring domestic and international laws, conferring STANAG agreements<sup>1</sup> domestic and foreign literature on the topic and the results of studies of domestic and foreign experts;
- I have processed and analyzed the military leadership of 5 NATO members (USA, UK, France, Denmark, and Czech Republic) and a neutral country (Sweden) from the aspect of realization of NATO doctrines.
- I have studied, analyzed and compared the levels of Hungarian military leadership with the corresponding NATO standard systems; I have drawn conclusions and made suggestions.

## **4. Brief description of the research done, by chapters.**

*I have divided my thesis to four chapters.*

*In chapter one* I was investigating the new challenges created by the new elements of international security policy and their influence on leading systems.

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<sup>1</sup> Standardization Agreements — Szabványügyi Egyezmény.

I was aiming to highlight the connections between the transformation of NATO and the reform of the Hungarian armed forces by analyzing the international security risks deriving from our NATO membership and reviewing the effects of the NATO summits in Prague, Istanbul and Riga. Furthermore, I seek to identify the new elements of future warfare and introduce the effects on leadership of land forces reflecting the experiences of the Coalition Forces during the war against Iraq.

*In chapter two* I review the principles of leadership described in NATO doctrines on leadership, then introduce the leading systems of the armed forces of the USA, the UK, the French Republic and the Swedish Kingdom and analyze the leadership principles described in NATO doctrines from realization aspect and define the principles of leadership and guidelines of military reforms of these.

*In chapter three* I introduce the general functions of military leadership and review the “Strategic Decisions” followed by the Defence Review and the decisions connected to the department of defence and their influence on land forces leadership.

*In chapter four* I make suggestions on principles to follow and main structure to be created in both domestic and foreign operations. At the end of the chapters I summarize the results of the research and define advises and suggestions for further utilization.

*In the appendix* I introduce the leadership structure of five NATO members mentioned by sheets, diagrams and figures of leadership structures, and the documents referring to the transformation of NATO.

## **5. Summarized conclusions**

In the past 15 years NATO met challenges it was not prepared for. With the dissolution of the Warsaw Pact, the military tasks connected to the regular global opposition vanished. Peacekeeping missions, the military support aspect of crisis management appeared in the task structures of the alliance. Today, the transformation, the “flexible response” in a good sense – the response to real threats – became a substantial part of the organization. The transforming and responding NATO became the most significant externality in the reform of the HDF.

As a result of my research I came to the conclusion that the armed forces of advanced western countries - and practically all of the NATO forces - live a period of transformation. The goal of the transformations and force development aims to meet the demands of new types of military challenges of the security of the 21<sup>st</sup> century. During these restructuring processes many take the possibilities of network based capabilities into account greatly, which means a challenge – interoperability requirements – for the Hungarian armed forces, due to the need of cooperation.

In the investigated period the Hungarian Defense Forces became a member of NATO, and is in most views a praised member – and a much criticized member in very few opinions – of the alliance. The Hungarian Defense Forces proved its capabilities in many NATO missions in many fields of operations. At the same time however here are many fields of improvement, especially in the realization of principles in NATO doctrines.

*In chapter one* I investigated the effects of the challenges posed by the new elements of international security on leadership structures. I came to the conclusion that the North-Atlantic Treaty Organization reacts constantly on challenges on international stages. The

milestones of NATO response procedures are connected to the summits, through which we are part of the defining of the response and of the realization of the response as well.

*In my view* the factors of national security the NATO membership was the most influential one in HDF reforms.

*I concluded* that the following future risks have to be answered by both NATO and HDF:

- Technical and organizational challenges of network based warfare;
- Wider and deeper level of joint forces concept;
- Replacement of the centralized leading structures with decentralized leading and decision-making mechanism;
- The use of possibilities given by information superiority;
- Protected data sharing with partners;

*In chapter two* I reviewed the leadership principles and command structures described in NATO doctrines and then introduced the leading systems of the armed forces of the USA, the UK, France and the Swedish Kingdom. And analyzed them from the perspective of the realization of NATO doctrines, defined the leadership principles and pinpointed the direction of reforms of these countries.

*In my opinion* The alliance is determining the reforms of armed forces of these countries, as they are making large efforts to fulfill their commitments and to integrate the technological advances into the defense sector. The leading countries of NATO and other advanced states develop their armed forces in the same, clearly visible direction.

*As I describe*, the development of the leading armed forces of the world goes towards deployability and expeditionary directions. It is a logical step to the Hungarian forces to switch into a “follow mode” in order to participate and cooperate in operations with these forces. For that, the modernization of armaments and equipment is inadequate, the technological background of the leadership and the human factor are also to be stressed out. The leading members of NATO not only utilize state-of-the-art technology, but seek to realize the leading of the armed forces according to the most modern principles, like mission based leading style, realization of military organizations after NATO principles, strengthening of the expeditionary aspect and the taking over of matrix based leading structures.

*In chapter three* I review the general functions of military leadership and command, and then introduce the “Strategic Decisions” following the Defence Review, and the decisions in 2006-2007, connected to the department of defence and their influence on the leading of troops.

*In my view* a conclusion can be made that the foundation of HDF JFC did not happen in light of organizational modernization or modern leadership theory aspect, rather the financial aspects prevailed. The Command is Joint only in its name, NATO doctrines were not really taken into account and were disregarded in some cases, the principles were not held important.

*I came to the conclusion* that in respect of our NATO commitments the HDF JFC needs to review its organization from the aspects of principles, main structure method and leadership culture described in NATO doctrines.

*In chapter four* I investigated the Operations Command of the western countries. I concluded that their structure follows the functional fields described in the doctrines and its functions, responsibilities, tasks are taken seriously, they adapt to the often complex political and legal circumstances mostly by employing civil political and legal advisors.

In the armies of western countries matrix-based structured military organizations appeared. I concluded that the current leadership structure, culture and system of the HDF needs to be changed. By the establishing of the new structures, the NATO principles on leadership should be followed.

*In my conclusion* the establishing of the culture of matrix-style structuring within the HDF could ease the issues of under staffed and overloaded organizations, their effectiveness could be increased.

## **6. New academic results**

To support my claims with my dissertation based on my academic researches, I have recorded results never published before.

1. By analyzing the conferring NATO summits, comparing with the changes in the Hungarian armed forces I proved the necessity of the already started guidelines and defined suggestions on modernization taking the new leadership principles into account.
2. During my research I compared the military hierarchy, established organizations, their principles of establishment, the tasks of the defence ministries, the organizations assigned to the tasks, military leading structures, their functional structure and leading order, and proved, that the Hungarian Defence Forces have to evolve in this directing.
3. I compared the military leading systems three leading members of NATO (USA, UK, France) and three countries with inhabitants comparable to Hungary (the Czech Republic, the Danish Kingdom and the Swedish Kingdom) and show the weaknesses of the high and medium command levels of the HDF.
4. I have proved that the functional composition of the leading elements of the HDF and the leading culture is only partly compatible with the NATO principles in doctrines. I described my concrete suggestions on restructuring the HDF JFC based on that.

## **7. Suggestions, practical utilization**

My dissertation can be utilized for structural modernization, military reform aspects and the working out of the required methodologies. Taking that into account, I dedicate my work to the high command of the Hungarian Defence Forces, especially for organizational transformation purposes. I dedicate it to the Miklós Zrínyi University of National Defence, The MK Military Intelligence Office, and to the MK Military Security Office. Last but not least I dedicate my thesis to the HDF JFC and its subsidiaries for use in organizational structuring and trainings, vocational trainings. The results of my thesis could be utilized in the following fields in my opinion:

- a. *As a resource* for the creation of the experience processing and utilizing strategy of the HDF.
- b. *As a guideline to follow* for the high and medium levels of command of HDF during *structural modernization and tenders*.
- c. *As a reference* for the upcoming “Defence Review” and “Strategic review” of the HDF or during the military reform as methodology for goals and ways to achieve them.
- d. *As training material* during the education, training and vocational training of officers.

## 8. Publications on the topic

1. L'avenir d'arme nucléaire en l'Europe, La Tribune (C.I.D.) 2001/3 p. 68.
2. Hongrie et l'aérienne de l'OTAN contre Kosovo La Tribune (C.I.D) 2001/2 42. p.
3. 99 nap az ARTEMIS-ben (99 Days in ARTEMIS) Szárazföldi Haderő Dec. 2003.
4. Gondolatok a NATO típusú hadosztályról (Thoughts on a NATO-type Battalion) Szárazföldi Haderő Dec. 2003.
5. Az iraki háború tapasztalatai (Experiences of The Iraqi War) Szárazföldi Haderő March 2004.;
6. A NATO válságkezelő rendszere. (The Crisis Management System of NATO) Szárazföldi Haderő 2004
7. Békefenntartó kézikönyv (Peacekeeper's Manual)(author 100% share) 2004, published in 2006
8. Katonai kislexikon (Small military Encyclopedia)(coauthor 25 % share) 2004
9. La Hongrie et l'OTAN – Előadás – «L'Association des Anciens et Amis des Ecoles Supérieures de Guerre et du Collège Interarmées de Défense» szervezésében – CID 2001
10. A szövetséges légimozgékonyaságú műveletek (The Allied Air Maneuverability Operations) HDF SZFP törzstanulónap 24.04.2003.;
11. La chaîne doctrinale hongroise CDES Pkh látogatása 2003. április 17 ;
12. A hadműveleti művészet (The Art of Operation) HDF SZFP továbbképzése 16.09.2002.;
13. A szárazföldi csapatok alkalmazásánál elvei (Principles of The Use of Ground Forces) HDF SZFP továbbképzése 03.04.2003
14. Az HDF által elfogadott és bevezetett STANAG-k (STANAGs Accepted by the HDF)HDF SZFP továbbképzése.12.12.2003
15. A Szövetséges Összhaderőnemi Műveletek (AJP-3) HDF SZFP TÖF továbbképzése 2003
16. The battlefield digitization, AARMS 4. issue 3. (September 2005)
17. Implications of NATO Network Enabled Capability in applying the principles of war at the operational level of warfare AARMS 5. issue 2. (August 2006)
18. Command and Network Centric Operation AARMS 6. issue 2. (July 2007.)
19. A felülvizsgálatot követő haderő-átalakítás feladatainak jelenlegi kihívásai (The Current Challenges of The Transformation of The Armed Forces After The Review) Kard és Toll Jan. 2005.
20. A hálózat központú hadviselés és a hatásalapú műveletek lehetséges hatásai a vezetési rendszerre (The Possible Consequences of The Network Based Warfare and The Effect Based Operations on The Leading System) Kard és Toll
21. A „34 napos” háború (The 34 Days War) Hadtudomány 2007. I quarter
22. A műszaki erők alkalmazása az ARTEMIS műveletben (The Use of Technological Forces in Operation ARTEMIS) Műszaki Katonai Közlöny 2007/I.

## 9. Professional and academic Curriculum

I was born in Miskolc, 23.04.1960. I have done my elementary and high school in Miskolc as well. After the high school I have studied on the Máté Zalka Military Technological College, where I graduated as chemical protection commander and facility engineer of radiochemistry. My career as an officer began in Szekszárd as a relief company commander of the 9<sup>th</sup> independent chemical protection battalion, than in 1985 I became technical chief of service of chemical protection.



Between 1989-91 I studied at the Tyimosenkó Academy of Chemical Protection. After receiving a degree I got to Kiskörös as armaments chief and material-technical deputy chief of the 93<sup>rd</sup> chemical protection regiment. In 1993 I was assigned to the Radiation Evaluation and Information Centre of the Ground Forces as commander. In 1995 I became deputy chief of chemical protection of the Budapest Military District, then got back to Székesfehérvár as the accentuated operations officer of the 4<sup>th</sup> mechanized legion due to the restructuring of the District. Between 1997 and 1998 I served in the SFOR Hungarian Technological Contingent, first as operations officer, later as headman. Later I served in Székesfehérvár further, first on the Department of territorial Defense, later as the head of operational coordinations office of G-5 directorate. Between 200-2001 I have studied with the common educational agreement on the French academy of chief of staff, the CID where I was the member of MARS military sciences society.

After returning home, I became accentuated doctrinal deputy chief officer. I have participated in exercise Dynamic Mix'02 in Spain in 2002. In 2003 I was the first Hungarian officer to participate in operation ARTEMIS led by the European Union, where I was chief of personnel on the Operations Command.

In March 2004 I applied to the PhD program of the Doctoral School of Military Sciences of ZMNE. I signed up for the preparation of the work in the field of "Actual Issues of Leading Troops, Adaptation Possibilities of NATO Principles and Doctrines in The Execution of The Tasks of Ground Forces In War and Peace" announced by the department of Ground Forces and chose "The Effects of NATO's New Challenges on Leading, Command and Establishing of Bodies of The Ground Forces of The Hungarian Defense Forces". Between 2004 and 2008 I did foreign service as accentuated liaison officer of the MK Permanent NATO Representation Military Representative Office. Currently I am working on the Department of Defense Policy of the Ministry of Defence.

Languages: Russian, proficiency with military mediator degree;

English proficiency STANAG 3433;

French proficiency STANAG 3333;

### **Academic activities:**

#### **I. Publications before PhD.:**

Books : Békefenntartó kézikönyv (100%-s részvételi arány)

Katonai Kislexikon (25%-s részvételi arány)

Foreign publications

23. L' avenir d'arme nucléaire en L'Europe (Az atomfegyver jövője Európában) ; La Tribune (C.I.D.) 2001/3 p. 68.;

24. Hongrie et la guerre aérienne de l'OTAN contre Kosovo (Magyarország és a NATO légiháborúja Koszovó ellen) ; La Tribune (C.I.D) 2001/2 p. 42. ;

Hungarian publications

1. A megszerzett tapasztalatok hasznosításának és magyar katonai szaknyelv és terminológia aktuális problémái (The Actual Issues of Utilizing Acquired Experiences And of Hungarian Military Jargon and Terminology; Hadtudomány 2004. issue 2.;

2. 99 nap az ARTEMIS-ben Szárazföldi Haderő Dec. 2003
3. Gondolatok a NATO típusú hadosztályról Szárazföldi Haderő Dec. 2003;
4. Az iraki háború tapasztalatai; Szárazföldi Haderő March 2004;
5. A NATO Válságkezelő Rendszere Szárazföldi; Haderő July 2004;

Academic lectures:

In foreign languages:

1. La Hongrie et l'OTAN – lecture – organized by «L'Association des Anciens et Amis des Ecoles Supérieures de Guerre et du Collège Interarmées de Défense» – Ecole Militaire 2001;
2. La chaîne doctrinale hongroise – lecture – visit of CDES Pkh 17.04.2003;

In Hungarian:

1. A hadműveleti művészet HDF SZFP továbbképzése 2002 szeptember 16
2. A szárazföldi csapatok alkalmazásánál elvei HDF SZFP Hadműveleti Főnök továbbképzése 2003 április 03
3. A HDF általelfogadott és bevezetett STANAG-k HDF SZFP továbbképzése 2003 dec 12
4. A Szövetséges Összhaderőnemi Műveletek (AJP-3) HDF SZFP Törzsfőnök továbbképzése 2003 május 15
5. A szövetséges légimozgékonyságú műveletek HDF SZFP törzstanulónap 2003 ápr 24;

## **II. Publications during PhD:**

Hungarian publications

1. A felülvizsgálatot követő haderő-átalakítás feladatainak jelenlegi kihívásai Kard és Toll (2005. január)
2. A hálózat központú hadviselés és a hatásalapú műveletek lehetséges hatásai a vezetési rendszerre Kard és Toll (2006)
3. A „34 napos” háború Hadtudomány 2007. I. negyedév
4. A műszaki erők alkalmazása az ARTEMIS műveletben - Műszaki Katonai Közlöny 2007 I. negyedév
5. Az Európai Unió és a terrorizmus elleni harc; Nemzetvédelmi Egyetemi Közlemények (“A nemzetközi terrorizmus elleni harc időszerű társadalmi, katonai és rendvédelmi kérdései” című tudományos konferencia anyaga, 2007

Hungarian publications in foreign languages:

- 1. The battlefield digitization AARMS 4. issue 3. (September 2005.)**

2. Implications of NATO Network Enabled Capability in applying the principles of war at the operational level of warfare AARMS 5. issue 2. (August 2006.)
3. Command and Network Centric Operation AARMS season 6. issue 3. (July 2007.)

### **III. Publications after receiving the Absolutorium:**

Hungarian publications in foreign languages

1. Műszaki erők alkalmazása az USA Iraki Szabadság Műveletében (The Use of Technological Forces During US Operation Iraqi Freedom) (coauthor with Dr. József Padányi) Hadtudományi Szemle, 2008. 3.