



Leadership and Ethics:

11 Leadership Principles from West Point,
the Army, and General Counsel's Office



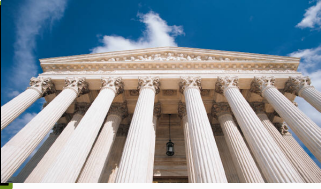
Introductions:

Frank J. DeCarlo, Esquire – General Counsel and Secretary of Liberty Tire Recycling
(2,500 employees, 44 + sites, Private Equity Owned)

- Graduated USMA 1990, Spent 5+ years on Active Duty, 11+ in Reserves, Served in US, Germany, and Iraq. Was a Combat Engineer Officer and Psychological Operations Officer.
- Worked at K&L Gates, CMU, and Liberty Tire
- Have a BS, JD, and MBA

Nathan C. Platt, Esquire – Associate General Counsel of Liberty Tire Recycling

- Private Practice 10 years, In-house 6 years
- Worked at Stock and Leader, IBM, Deloitte, small business owner
- Awarded Certificate for Leadership – Clarkson University School of Business, Graduate Leadership York
- Have BS in Accounting, MBA, and JD



AGENDA

- Lawyers as Leaders, Advocates for the Law, and Ethics
- Brief Overview of the Military as a Training Ground for Leadership and History of West Point
- Introduction to the 11 Leadership Principles and Rules of Professional Conduct for Lawyers
 - Leadership Styles and Schofield's Definition of Discipline
- The 11 Principles of Leadership Revealed:
 - Tales from the Field of Battle – Both Military and as Civilian In-House Counsel
 - Intersection with Lawyers Rules of Professional Conduct
 - Words and Actions to Aspire
- Conclusion - Goal Setting for Your Leadership – Sources of Support



Lawyers as Leaders, Advocates for the Law, and Ethics

Why should we care about Leadership?

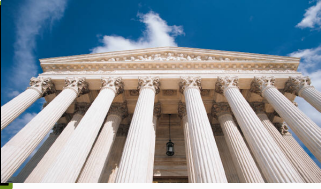
- A History and Practice of Leadership
- PREAMBLE: A Lawyers Responsibilities
- Law School v. Business School
- Call to Leadership





Military as Training Ground for Leadership

- Ever since people have organized themselves in groups to defend themselves, Leadership has been a key to success
- In warfare, Leadership is a multiplier of effects; with it organizations are focused and synchronized, resources are used efficiently, people become energized and motivated, and missions are more likely to achieve desired outcomes.
- History is littered with stories of good and bad leaders.
- One thing is certain, since the beginning of warfare, militaries have sought out the best leaders and tried to understand their skills and tried to train people to become better leaders. Few examples you may know:
 - Sparta (Ancient Greece) – Leonidas I
 - Greeks – Alexander the Great
 - Huns – Attila
 - Carthaginians – Hannibal
 - Romans - Julius Caesar
 - Persians – Cyrus the Great
- Long history of leadership training in all the worlds militaries.



United States Military Academy at West Point, NY

- The Army first occupied West Point on 27 January 1778, making it the longest continually occupied post in the United States.
- A chain was put across the Hudson River at the bend to protect the Colonies from being split in half by the British
- It was as commander of the fortifications at West Point that Benedict Arnold committed his infamous act of treason when he attempted to sell the fort to the British.
- United States Military Academy was created there as in 1802 by Thomas Jefferson to teach the art and science of war and of engineering. It was the Country's first engineering school.
- West Point's current mission is *"to educate, train, and inspire the Corps of Cadets so that each graduate is a commissioned leader of character committed to the values of Duty, Honor, Country and prepared for a career of professional excellence and service to the Nation as an officer in the United States Army."*
- Strives to be THE PREEMINENT LEADER DEVELOPMENT INSTITUTION – [West Point Video](#)
- Famous Graduates - Presidents - Grant & Eisenhower (Davis) , Generals - Lee, Sherman, Pershing, MacArthur, Patton, Westmoreland, Ridgeway, Schwarzkopf, Petraeus; Astronauts - Aldrin, Collins; CEOs, Senators, Congressman, Ambassadors, etc.



Difference between Leadership and Management

Leadership Styles and Schofield's Definition of Discipline

Introduction to the 11 Leadership Principles and Rules of Professional Conduct for Lawyers





11 Leadership Principles

1. *Know yourself and seek self-improvement*
2. *Be technically and tactically proficient*
3. *Seek responsibility and take responsibility for your actions*
4. *Make sound and timely decisions*
5. *Set the example*
6. *Know your people and look out for their welfare*
7. *Keep your people informed*
8. *Ensure the task is understood, supervised, and accomplished*
9. *Develop a sense of responsibility among your people*
10. *Train your people as a team*
11. *Employ your Team in accordance with its capabilities*





1. **Know yourself and seek self-improvement** – *You are never done growing as a leader.**

Understand who you are, your values, priorities, strengths and weaknesses. Knowing yourself allows you to discover your strengths and weaknesses. Self-improvement is a process of sustaining strengths and overcoming weaknesses, thus increasing competence and the confidence people have in your leadership ability.**

Rule of Professional Conduct:

Rule 1.1 Competence

* Italics Comments from Dave Anderson of Anderson Leadership Solutions

** Descriptions by Tom Deierlein from Academy Leadership





2. Be technically and tactically proficient – *Know your business*

Before leaders can lead effectively, they must have mastered the tasks required by the people they lead. Maintain a high level of competency in your occupation and specialty. Your proficiency in your own job and knowledge of theirs will earn the respect of your people. In addition, leaders train their people to do their own jobs while understudying the leader so that they are prepared to replace the leader if necessary. Likewise, leaders must understudy their leader in the event they must assume those duties.

Rule of Professional Conduct:

Rule 1.1 Competence





3. Seek responsibility and take responsibility for your actions – *Be Accountable*

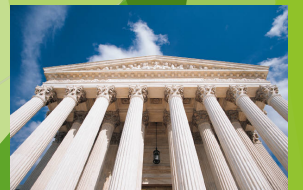
Leading always involves responsibility. Leaders want people who can handle responsibility and help achieve goals. They expect others to take the initiative within their stated intent. When you see a problem or something that needs to be fixed, do not wait to be told to act. Organizational effectiveness depends upon having leaders at all levels that exercise initiative, are resourceful and take opportunities that will lead to goal accomplishment and business success. When leaders make mistakes, they accept just criticism and take corrective action. They do not avoid responsibility by placing the blame on someone else.

Rule of Professional Conduct:

PREAMBLE: A Lawyers Responsibilities

Rule 1.2 Scope of Representation and Allocation of Authority

Rule 5.1, 5.2, 5.3, 5.7 Law Firms and Associations





4. **Make sound and timely decisions** – *Be wise, but be decisive.*

Leaders must assess situations rapidly and make sound decisions. They need to know when to make decisions themselves, when to consult with people before deciding and when to delegate the decision. Leaders must know the factors to consider when deciding how, when and if to make decisions. Good decisions made at the right time are better than the best decisions made too late. Do not delay or try to avoid a decision when one is necessary. Indecisive leaders create hesitancy, loss of confidence and confusion. Leaders must anticipate and reason under the most trying conditions and quickly decide what actions to take. Gather essential information before making decisions. Announce decisions in time for people to react.

Rule of Professional Conduct:

Rule 1.3 Diligence

Rule 3.2 Expediting Litigation

Rule 8.1 -8.5 Maintaining the Integrity of the Profession





5. **Set the Example** – *More is caught than taught*

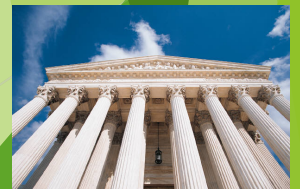
People want and need their leaders to be role models. This is a heavy responsibility, but leaders have no choice. No aspect of leadership is more powerful. If leaders expect courage, responsibility, initiative, competence, commitment and integrity from their direct reports, they must demonstrate them. People will imitate a leader's behavior. Leaders set high but attainable standards for performance and are willing to do what they require of their people. Leaders share hardships with their people and know that their personal example affects behavior more than any amount of instruction or form of discipline.

Rule of Professional Conduct:

Rule 1.10, 1.11 Conflicts of Interest

Rule 3.1 Meritorious Claims and Contentions

Rule 8.1- 8.5 Maintaining the Integrity of the Profession





6. Know your people and look out for their well being – *They don't care how much you know, until they know how much you care.*

It is not enough to know the names and birth dates of your people. You need to understand what motivates them and what is important to them. Commit time and effort to listen to and learn about them. Showing genuine concern for your people builds trust and respect for you as a leader. Telling your people you care about them has no meaning unless they see you demonstrating it. They assume that if you fail to care for them daily, you will fail them when the going gets tough.

Rule of Professional Conduct:

Rule 1.9, 1.18 Duties to Former and Prospective Clients

Rule 1.13 Organization as Client

Rule 5.1 Responsibilities of Partners, Managers, and Supervisory Lawyers





7. **Keep your people informed** – *No team ever failed because of too much communication.*

People do best when they know why they are doing something. Individuals affect the bottom line results of companies by using initiative in the absence of instructions. Keeping people informed helps them make decisions and execute plans within your intent, encourages initiative, improves teamwork and enhances morale.

Rule of Professional Conduct:

Rule 1.4 Communication

Rule 1.6 Confidentiality of Information





8. Ensure the task is understood, supervised, and accomplished – *Set clear expectations and goals, then coach and hold people accountable.*

Your people must understand what you want done, to what standard and by when. They need to know if you want a task accomplished in a specific way or how much leeway is allowed. Supervising lets you know if people understand your instructions; it shows your interest in them and in goal accomplishment. Over-supervision causes resentment while under-supervision causes frustration. When people are learning new tasks tell them what you want done and show them how. Let them try. Observe their performance. Reward performance that exceeds expectations; correct performance that does not. Determine the cause of the poor performance and take appropriate action. When you hold people accountable for their performance, they realize they are responsible for accomplishing goals as individuals and as teams.

Rule of Professional Conduct:

Rule 1.1, 1.3, 1.4 Competence, Diligence, Communication
Rule 5.1, 5.2 Responsibilities of Managing and Subordinate
Lawyers





9. **Develop a sense of responsibility among your people** - *You are responsible for developing your people*

People feel a sense of pride and responsibility when they successfully accomplish a new task. Delegation indicates trust in people and encourages them to seek responsibility. Develop people by giving them challenges and opportunities that stretch them and more responsibility when they demonstrate they are ready. Their initiative will amaze you.

5 Minute Shadow

Rule of Professional Conduct:

Rule 5.3 Nonlawyer Assistants

Rule 6.1 – 6.5 Public Service

Rule 8.1 -8.5 Maintaining the Integrity of the Profession





10. Train your people as a team – *Culture is the leader's job*

Teamwork is becoming more and more crucial to achieving goals. Teamwork is possible only when people have trust and respect for their leader and for each other as competent professionals and see the importance of their contributions to the organization. Develop a team spirit among people to motivate them to perform willingly and confidently. Ensure that individuals know their roles and responsibilities within the team framework. Train and cross train people until they are confident in the team's abilities.

Rule of Professional Conduct:

PREAMBLE and Scope RPC

Rule 5.4 Professional Independence of a Lawyer

Rule 8.1 -8.5 Maintaining the Integrity of the Profession





11. Employ your team in accordance with its capabilities – *Put your people in a position to exceed*

Leaders must know their team's capabilities and limitations. People gain satisfaction from performing tasks that are reasonable and challenging but are frustrated if tasks are too easy, unrealistic or unattainable. If the task assigned is one that people have not been trained to do, failure is very likely to result.

Rule of Professional Conduct:

Rule 1.1 Competence

Rule 5.1, 5.2 Responsibilities of Managing and Subordinate Lawyers

Rule 8.1 -8.5 Maintaining the Integrity of the Profession





Conclusion

Goal Setting for Your Leadership





Handouts and Sources of Support

- Handouts
 - 11 Principles Summary Handout
 - Personal After Action Review Outline
 - Rules of Professional Conduct
- Study of Leadership
 - *Leaders Eat Last: Why Some Teams Pull Together and Other Don't* by Simon Sinek 2014
 - *Extreme Ownership* by Jocko Willink / Leif Babin 2017
 - *West Point Way of Leadership* by Larry Donnithorne 1993
 - *The Challenge of Command* by Roger Nye 1986
 - *Taking Charge: A Practical Guide for Leaders* by Perry M. Smith 1986
 - *The Effective Executive* by Peter Drucker 1966
 - *The Art of War* by Sun Tzu
 - *On War* by Carl von Clausewitz 1832
 - *Leadership in Organizations* by USMA Behavioral Sciences and Leadership 1988 (Academic Text)
- Stories of Leadership
 - *Once an Eagle* by Anton Myrer 1968
 - *Red Badge of Courage* by Stephen Crane 1895
 - *The Killer Angels* by Michael Shaara 1974
 - *American Ulysses* by Ronald White 2016
- Other References
 - U.S. Army Chief of Staff's Professional Reading List - <https://history.army.mil/html/books/105/105-1-1/index.html>
 - Follow on LinkedIn - General Martin E. Dempsey – Former Chairman of the Joint Chiefs of Staff