

**MONTHLY LUNCHTIME
SEMINAR SERIES**

61st Session:

**"IS YOUR LAW
PRACTICE BATTLE
READY?"**

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February 20, 2018



Elisabeth Pennix is the General Counsel for the Illinois Department of Veterans' Affairs (IDVA). In her role, she provides in-house legal counsel to agency senior executives in a diverse legal practice: health care law, labor and employment law, litigation management, and policy development for skilled-care nursing facilities for veterans. She also provides ethics advice and leads legal training for over 1,200 agency employees. Elisabeth served eight years on active duty in the U.S. Navy as a Judge Advocate General (JAG) during which she served as a Military Commissions Legal Advisor, Chief Prosecutor, Detainee Operations Attorney in Iraq, Defense Counsel, and Legal Assistance Attorney. Elisabeth continues to serve part-time as a Reserve Commander and Executive Officer in the U.S. Navy JAG Corps.



Conrad C. Nowak is a Partner at Hinshaw & Culbertson LLP. Mr. Nowak served as a non-commissioned officer in the U.S. Army and Reserves for nine years, including assignments in units within the U.S. Army Special Operations Command, such as serving on a Special Operations Team (SOT) in the 12th Special Forces Group. A trial attorney with a diverse national practice, he frequently represents clients in high profile, sensitive litigation as well as transactional matters. Mr. Nowak has successfully represented clients in a variety of practice areas and industries. Mr. Nowak also has experience in white collar criminal and related civil matters, such as representing individuals in Department of Justice and other federal investigations, the Foreign Agents Registration Act, and other congressional inquiries.

SECTION A

- *Is Your Law Practice Battle Ready?*
by Ms. Elisabeth Pennix & Mr. Conrad Nowak, February 2018.

Is Your Law Practice Battle Ready?
**Applying Military Lessons in Leadership, Task Management and Performance
to the Practice of Law**

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LEADERSHIP

- Factors of Leadership
- the Led
- the Leader
- the Situation
- Communication
- Principles of Leadership

ELEMENTS

- Correct assessment by the leader of the soldiers being led
- Subordinate's competence
- Subordinate's motivation
- Subordinate's commitment
- Proper leadership actions taken at the correct time

CLIMATE

- The leader must create a climate that encourages subordinates active participation to accomplish the mission
- Key ingredients to develop this are:
 - Mutual Trust
 - Respect
 - Confidence

HOW THE MILITARY REALLY DOES IT, AND SIMILARITIES TO LAW PRACTICE

- Breaking down
- Building up
- Dynamic stress environment
- Challenging
- Trust

LEADER RESPONSIBILITY

- Under the military model, leader assumes responsibility for subordinate failures

- Leader's job to assess subordinates, determine appropriate motivational triggers
- Leader's job to determine appropriate discipline

ASSESSING

- Know your subordinates and look out for their well-being
- Develop a sense of responsibility in your subordinates
- Ensure the task is understood, supervised, and accomplished
- Build the team - skill sets may differ
- Employ your "unit" in accordance with its capabilities

INSTILLING CONFIDENCE

- Soldiers want to be led by leaders who provide strength, inspiration, and guidance and will help them become the best they can be. Whether or not they are willing to trust their lives to a leader depends on their assessment of that leader's courage, competence, and commitment. **LAWYERS ARE NO DIFFERENT.**
- As a leader, you must be the greatest servant in your unit. Your rank and position are not personal rewards. You earn them so that you can aid your subordinates (**ASSOCIATES**), (**PARTNERS**), your unit (**FIRM**), and your nation (**PROFESSION**)

THE LED

- **EFFORT AND COMMITMENT MUST EXIST, JUST AS YOU EXPECT THE SAME FROM YOUR LEADERS**
- **LISTEN, LEARN, APPLY, REFINE**
- **UNDERSTAND THAT THERE ARE DIFFERENT LEADERSHIP STYLES, TAKE NO OFFENSE**
- **COMMUNICATE - EFFICIENTLY - FULLY**
- **SUPPORT YOUR LEADERS, JUST AS YOU WOULD EXPECT THEM TO SUPPORT YOU**
- **"LOYALTY UP, LOYALTY DOWN"**

AFTER ACTION REVIEW ("AAR")

- The Army's After Action Review (AAR) is arguably one of the most successful organizational learning methods yet devised. Yet, most every corporate effort to graft this truly innovative practices into their culture has failed because, again and again, people reduce the living practice of AAR's to a sterile technique. — Peter Senge, MIT
- An AAR is an assessment conducted after a project or major activity that allows both employees and leaders to discover and learn what happened and why. Leaders and subordinates gather after a major project or task and identify items for improvement, change

APPLICATION TO SOLO OR SMALL PRACTICE

- Much like military Special Operations; broader skills required of fewer people
- Discipline, Practice Management, Time Management
- Presentation and attention to detail

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THE MILITARY AND THE LEGAL PROFESSION

Both can be stressful and demanding professions

Both can involve the ability to respond in a dynamic, somewhat unpredictable and fast paced environment

Both professions are grounded in honor, integrity, commitment to service and the Constitution of the United States.

LEADERSHIP

"It's not just for leaders anymore."



1989

WHAT IS LEADERSHIP?

▪ Is it being in charge?

▪ Is it being in a position of power?

▪ Is it being the most senior person at an organization?

▪ Or being the most highly compensated?

LEADERSHIP DEFINED

In its simplest form, leadership is the power of persuasion. To persuade others to perform tasks that they may initially not be wanting or able to do, perhaps under adverse conditions, and make them want to do them because of something you said or did.

IT'S ALL ABOUT RELATIONSHIPS

↳ Know your subordinates

↳ Show genuine interest

↳ What are their dreams, goals?

↳ What are their interests?

↳ Goal - how can you help them attain greater proficiency in their tasks?

↳ If you don't care about them, they won't care about you (or the "mission")

ASSESSING

1. Assess your subordinates and look out for their well-being

2. Develop a sense of responsibility in your subordinates

3. Ensure the task is understood, supervised, and accomplished

- ▣ Build the team - skill sets may differ

- ▣ Employ your “unit” in accordance with its capabilities

- ▣ Provide Leadership Training to Leaders

INSTALLING CONFIDENCE

People will only be led by leaders who provide strength, inspiration, and guidance and will help them become the best they can be. Whether or not they are willing to trust their lives to a leader depends on their assessment of that leader's courage, competence, and commitment.

LEADERSHIP QUALITIES ARE NO DIFFERENT.

- ❑ As a leader, you must be the greatest servant in your unit. Your rank and position are not personal rewards. You earn them so that you can aid your subordinates (ASSOCIATES), (PARTNERS), your unit (FIRM), and your nation (PROFESSION)

MILITARY LEADER CHARACTERISTICS

Builds Morale

Extends Influence Beyond Chain of Command

Leads By Example

Communicates – and is understood

Creates Positive Environment (esprit de corps)

- ☐ Prepares Self
- ☐ Develops Others - Awards
- ☐ Stewards The Profession
- ☐ Gets Results
- ☐ ASSUMES RESPONSIBILITY

Leadership Requirements Model

ATTRIBUTES

PRESENCE

INTELLECT

- * Values
- * Empathy
- * Warrior Ethos / Service Ethos
- * Discipline

- * Military
- * Fitness
- * Confidence
- * Resilience

LEADS

DEVELOPS

ACHIEVES

- * Leads others
- * Builds trust
- * Extends influence beyond the chain of command
- * Leads by example
- * Committment

COMPETENCIES

NOVELLATION



ALBERTA D. ...
... ...

Management Practices

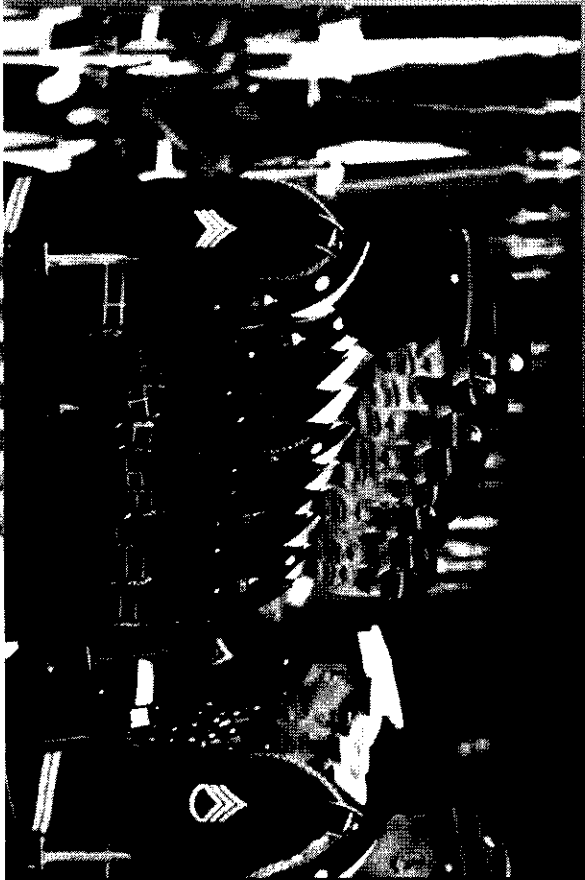
Understand that individuals respond to different forms of encouragement, correction and discipline.

- ▣ Fear, coercion?
- ▣ Monetary?
- ▣ Challenge and Reward
- ▣ Desire to please

*"To be humble to superiors is duty, to
equals courtesy, to inferiors
nobleness"*

— Ben Franklin

THE LED



THE MID

Generational commitment must exist just as you expect the same from your leaders

Listen, learn, apply, refine

Understand that there are different leadership styles, take no offense

Communicate – efficiently – fully

Support your leaders, just as you would expect them to support you

“Loyalty up, Loyalty down”

Generational issues

TASK MANAGEMENT



"If you want to change the world, start off by making your bed."
Admiral William McRaven
Former Commander, U.S. Special Operations Command

Use the quiet time to focus your energy

Prioritize tasks, important and cumbersome

Commit to a schedule – the power of habit
Healthy in mind, body, spirit

AFTER ACTION REVIEW ('AAR')

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- Each branch of service has a similar equivalent
- An AAR is an assessment conducted after a project or major activity that allows both employees and leaders to discover and learn what happened and why.
- Leaders and subordinates gather after a major project or task and identify key issues and discuss for the future

1. Initial Objective

What were our intended results?

(What was planned?)

2. Reality

What were our actual results?

(What really happened?)



3. What We Learned

What caused our results?

(What is the take-away?)

4. Goals

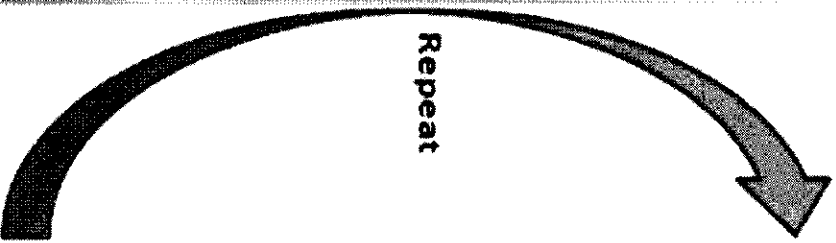
What will we sustain or improve?

(The hypotheses - What can we do better next time?)

Repeat

5. Experiments

What are some upcoming opportunities in which to test our hypotheses in action?



BUSINESS DEVELOPMENT

1. Know your operational environment

2. Self Assessment – what are your REAL strengths, weaknesses

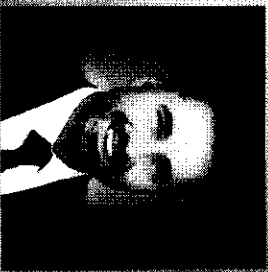
3. Perception is Reality – Until Tested/Challenged

4. Represent Clients and Potential Clients with a clear “Operation”

- ▣ Clients want the Same Thing Commanders do: Options/Risks, Plans, Efficiency/ Costs; Success
- ▣ Utilize your Veterans!!!



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LEADERSHIP

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DEPARTMENT OF THE ARMY



DECEMBER 1948

SECTION IV SUMMARY OF LEADERSHIP

The principles of practical leadership have been discussed in the preceding chapters from a military point of view. Before summarizing the fundamentals of good leadership, it is considered advisable to give a few typical statements to test the reader's knowledge or to assist one in conducting a discussion on the subject. The statements below are based upon the fundamental doctrine of leadership, and they have been carefully selected from numerous surveys conducted within the Army in the interest of establishing better human relationships. The thoughts contained in these statements could well be made as positive statements of fact; however, to stimulate interest and discussion it is preferable to allow the reader to arrive at his own conclusion. The answers are comparatively easy. The big question is: "Do you, as a leader, apply them, or does your leader apply them?" Read and study each of the following statements carefully and indicate your answer in the space provided.

Awarding Punishment and Restrictions:

- | | Yes | No |
|---|--------------------------|--------------------------|
| 1. Award punishment to the individual offender and not to the entire unit because one or two individuals violated a regulation. | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Do not reprimand an individual in the presence of other members of the unit. | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Award penalties or restrictions, as required, which are in keeping with the nature of the offense, and can be justified under the circumstances. | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Establish and publish rules pertaining to restrictions, including penalties so that all members may know in advance. | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Make it a rule that when an offender has paid his penalty and learned his "lesson" he starts anew with a clean slate. | <input type="checkbox"/> | <input type="checkbox"/> |

Establishing a Sound Basis for Discipline:

- | | | |
|--|--------------------------|--------------------------|
| 1. Publish sound orders for benefit of all members of the unit. Do not issue orders or rules on trivial matters, as it deprecates the force of important orders. | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Explain the reason for all directives and orders whenever possible. | <input type="checkbox"/> | <input type="checkbox"/> |

3. Conduct and actions of a leader must be in accord with that required of members of his unit.
4. Prepare plans for the work of the unit well in advance and see that the members are informed of such plans.
5. Do not make promises to members of your unit which you are not positive you can fulfill.

Yes No

Praising Members of Your Unit:

1. Heartily and quickly compliment an individual or group who has performed a particularly good job.
2. Even though members are expected to do a good job, be the first to tell them when they have done so.
3. When a leader has been recommended by his supervisors for good work of his unit, he should pass the commendation on to members of his unit.
4. When the leader talks with individuals on the job, he should let each know how important the individual is to the team.
5. Solicit suggestions from members of the unit in an effort to improve working and social relationship in the unit.
6. Catalog the skills and special qualifications of members of the unit in order to utilize their services more efficiently and effectively.

Dealing with Individuals:

1. Greet members by name pleasantly when you see them; be cordial.
2. Make it convenient for members to talk to you about their personal problems.
3. Do not assume the attitude that "I am monarch of all I survey."
4. Instill confidence in your members by assigning responsibilities in proportion to their capacity to perform.
5. Do not be indifferent by word or manner so as to imply that a sick member is "gold bricking."
6. Let it be well known that you are vitally interested in the personal health and welfare of members of your unit.
7. Do not treat your members as children or as being inferior to you.

Recognize Importance of Work of Members of Your Unit:

1. Show the members that their work is vitally important to the unit.
2. Let it be understood that accomplishment is the primary basis for praise and reward.

3. Stress the importance of the primary mission of the unit and do not allow nonessential matters to interfere with the primary mission.
4. In praising members for good work, do not overlook the members who are doing routine and odd jobs.

Yes No

Know Individuals of Your Unit:

1. Interview each member of your unit personally as soon as you can. Each will then know that you know something of his interests and capabilities.
2. Learn the name of each member of your unit.
3. Visit members at their work and see what they actually do.

Building Pride in a Unit:

1. Encourage and support unit activities such as organized athletics, dances, parties, etc.
2. Select recreational activities of different types and urge maximum individual participation.
3. Invite suggestions from members to determine what should be done for the benefit of the entire group.

Welfare of Members of Your Unit:

1. Establish and publish a uniform system for issuance of passes that will work equitably for all members. Each member should be able to plan for his pass.
2. Visit the mess of the members frequently and occasionally eat in the mess, so as to know the quality of the food and the general condition of the mess.
3. Inspect quarters of the members to see that they are adequate and comfortable.
4. Visit members who are hospitalized or sick in quarters.
5. Inspect for matters important to the unit, its members, and its future welfare.

Promotions:

1. Establish a promotion policy in keeping with fairness to individuals of the unit.
2. Base promotions upon qualifications required to fill the position.
3. Promote the individual best qualified, other factors being considered.
4. Where more than one member of unit is qualified for the promotion, the matter should be explained to those concerned prior to announcement of the promotion.

To summarize briefly the principal points covered in this pamphlet: Leadership is the art of influencing human behavior through ability to directly influence people and direct them toward a specific goal. Any person with reasonable intelligence can study, learn, and practice the elements of leadership, just as one can learn other accomplishments of human endeavor. If one learns the elements of leadership and applies them diligently in dealing with other people, he will eventually become proficient in the field of leadership.

The responsibility of a leader is two-fold; first, the accomplishment of his mission; and second, the welfare of members of his unit or group. There are certain prerequisites for leadership. A successful leader must be of good character, intelligent, and mentally and physically alert under all circumstances involving his mission and members of his unit. The maintenance of good human relationships within and without his unit is another prominent factor for the leader to remember. The saying, "Follow the leader," truly works well when members of a unit or group have complete confidence and trust in the ability of their leader.

Briefly, a leader should possess the following qualifications:

1. *Knowledge*.—He must know his job and should possess a background of general knowledge to lead his group in thought and action.
2. *Decisiveness*.—Ability to promptly make appropriate decisions.
3. *Initiative*.—Ability to originate the required procedure to accomplish his mission.
4. *Fact*.—Ability to foster and maintain good human relationships.
5. *Conduct*.—Ability to maintain dignity, bearing, and manner above reproach.
6. *Both physical and mental control over fear*.
7. *Endurance*.—Physical and mental stamina.
8. *Dependability*.—Reliable and loyal to performance of duty.
9. *Justice*.—A sense of fairness in decisions affecting other persons.
10. *Enthusiasm*.—Keen interest and belief in the job to be done.

The leader is deeply concerned with discipline and morale within his group. These two factors are ever present in an organization. Sometimes poor morale in an organization will increase the disciplinary problem, and again poor disciplinary action will be the cause of poor morale. A good leader must analyze these matters that affect the maintenance of morale and discipline in his unit. No leader can afford to neglect the maintenance of proper morale and discipline within his unit.

In maintaining good human relationship within his unit, the wise leader will find a way to know the members of his unit. He will make himself available for consultation, and in effect, make himself the personal counselor for each member. This procedure affords him an opportunity to find out what his group thinks.

Conclusion:

Know and do your job.
Know and care for members of your group.

PART ONE

The Basis of Leadership

All Army team members, Soldiers and civilians alike, must have a basis of understanding for what leadership is and does. The definitions of leadership and leaders address their sources of strength in deep-rooted values, the Warrior Ethos, and professional competence. National and Army values influence the leader's character and professional development, instilling a desire to acquire the essential knowledge to lead. Leaders apply this knowledge within a spectrum of established competencies to achieve successful mission accomplishment. The roles and functions of Army leaders apply to the three interconnected levels of leadership: direct, organizational, and strategic. Within these levels of leadership, cohesive teams can achieve collective excellence when leadership levels interact effectively.

Chapter 1

Leadership Defined

1-1. An enduring expression for Army leadership has been HE:KNOW:DO. Army leadership begins with what the leader must **HE**—the values and attitudes that shape character. It may be helpful to think of these as internal and defining qualities possessed all the time. As defining qualities, they make up the identity of the leader.

1-2. Who is an Army leader?

An **Army leader** is anyone who by virtue of assumed role or assigned responsibility inspires and influences people to accomplish organizational goals. Army leaders motivate people both inside and outside the chain of command to pursue actions, focus thinking, and shape decisions for the greater good of the organization.

1-3. Values and attributes are the same for all leaders, regardless of position, although refined through experience and assumption of positions of greater responsibility. For example, a sergeant major with combat experience may have a deeper understanding of selfless service and personal courage than a new Soldier.

1-4. The knowledge that leaders should use in leadership is what Soldiers and Army civilians **KNOW**. Leadership requires knowing about tactics, technical systems, organizations, management of resources, and the tendencies and needs of people. Knowledge shapes a leader's identity and is reinforced by a leader's actions.

1-5. While character and knowledge are necessary, by themselves they are not enough. Leaders cannot be effective until they apply what they know. What leaders **DO**, or leader actions, is directly related to the influence they have on others and what is done. As with knowledge, leaders will learn more about leadership as they serve in different positions.

1-6. New challenges facing leaders, the Army, and the Nation mandate adjustments in how the Army educates, trains, and develops its military and civilian leadership. The Army's mission is to fight and win the

Chapter 1

Nation's wars by providing prompt, sustained land dominance across the spectrum of conflicts in support of combatant commanders. In a sense, all Army leaders must be warriors, regardless of service, branch, gender, status, or component. All serve for the common purpose of protecting the Nation and accomplishing their organization's mission to that end. They do this through influencing people and providing purpose, direction, and motivation.

Leadership is the process of influencing people by providing purpose, direction, and motivation while operating to accomplish the mission and improving the organization.

INFLUENCING

1-7. Influencing is getting people—Soldiers, Army civilians, and multinational partners—to do what is necessary. Influencing entails more than simply passing along orders. Personal examples are as important as spoken words. Leaders set that example, good or bad, with every action taken and word spoken, on or off duty. Through words and personal example, leaders communicate purpose, direction, and motivation.

PURPOSE AND VISION

1-8. Purpose gives subordinates the reason to act in order to achieve a desired outcome. Leaders should provide clear purpose for their followers and do that in a variety of ways. Leaders can use direct means of conveying purpose through requests or orders for what to do.

1-9. Vision is another way that leaders can provide purpose. Vision refers to an organizational purpose that may be broader or have less immediate consequences than other purpose statements. Higher-level leaders carefully consider how to communicate their vision.

DIRECTION

1-10. Providing clear direction involves communicating how to accomplish a mission; prioritizing tasks, assigning responsibility for completion, and ensuring subordinates understand the standard. Although subordinates want and need direction, they expect challenging tasks, quality training, and adequate resources. They should be given appropriate freedom of action. Providing clear direction allows followers the freedom to modify plans and orders to adapt to changing circumstances. Directing while adapting to change is a continuous process.

1-11. For example, a battalion motor sergeant always takes the time and has the patience to explain to the mechanics what is required of them. The sergeant does it by calling them together for a few minutes to talk about the workload and the time constraints. Although many Soldiers are of hearing from the sergeant about how well they are doing and that they are essential to mission accomplishment, they know it is true and appreciate the comments. Every time the motor sergeant passes information during a meeting, he sends a clear signal: people are cared for and valued. The payoff ultimately comes when the unit is alerted for a combat deployment. As events unfold at breakneck speed, the motor sergeant will not have time to explain, acknowledge performance, or motivate them. Soldiers will do their jobs because their leader has earned their trust.

MOTIVATION

1-12. Motivation supplies the will to do what is necessary to accomplish a mission. Motivation comes from within, but is affected by others' actions and words. A leader's role in motivation is to understand the needs and desires of others, to align and cleave individual drives into team goals, and to influence others and accomplish those larger aims. Some people have high levels of internal motivation to get a job done, while others need more reassurance and feedback. Motivation spurs initiative when something needs to be accomplished.

1-13. Soldiers and Army civilians become members of the Army team for the challenge. That is why it is important to keep them motivated with demanding assignments and missions. As a leader, learn as much as possible about others' capabilities and limitations, then give over as much responsibility as can be handled.

Acknowledgments

When subordinates succeed, praise them. When they fall short, give them credit for what they have done right, but advise them on how to do better. When motivating with words, leaders should use more than just empty phrases; they should personalize the message.

1-14 Indirect approaches can be as successful as what is said. Setting a personal example can sustain the drive in others. This becomes apparent when leaders share the hardships. When a unit prepares for an emergency deployment, all key leaders should be involved to share in the hard work to get the equipment ready to ship. This includes leadership presence at night, weekends, and in all locations and conditions where the troops are tobing.

OPERATING

1-15 Operating encompasses the actions taken to influence others to accomplish missions and to set the stage for future operations. One example is the motor sergeant who ensures that vehicles roll out on time and that they are combat ready. The sergeant does it through planning and preparing (laying out the work and making necessary arrangements), executing (doing the job), and assessing (learning how to work smarter next time). The motor sergeant leads by personal example to achieve mission accomplishment. The civilian supervisor of training developers follows the same sort of operating actions. All leaders execute these types of actions which become more complex as they assume positions of increasing responsibility.

IMPROVING

1-16 Improving for the future means capturing and acting on important lessons of ongoing and completed projects and missions. After checking to ensure that all tools are repaired, cleaned, accounted for, and properly stored away, our motor sergeant conducts an after-action review (AAR). An AAR is a professional discussion of an event, focused on performance standards. It allows participants to discover for themselves what happened, why it happened, how to sustain strengths, and how to improve on weaknesses. Capitalizing on honest feedback, the motor sergeant identifies strong areas to sustain and weak areas to improve. If the AAR identifies that team members spent too much time on certain tasks while neglecting others, the leader might improve the section standing operating procedures or counsel specific people on how to do better.

1-17 Developmental counseling is crucial for helping subordinates improve performance and prepare for future responsibilities. The counseling should address strong areas as well as weak ones. If the motor sergeant discovers recurring deficiencies in individual or collective skills, remedial training is planned and conducted to improve these specific performance areas. Part Three and Appendix B provide more information on counseling.

1-18 By stressing the team effort and focused learning, the motor sergeant gradually and continuously improves the unit. The sergeant's personal example sends an important message to the entire team: Improving the organization is everyone's responsibility. The team effort to do something about its shortcomings is more powerful than any lecture.

Chapter 7 Leading

The American soldier... demands professional competence in his leaders. In battle, he wants to know that the job is going to be done right, with no unnecessary casualties. The noncommissioned officer wearing the chevron is supposed to be the best soldier in the platoon and he is supposed to know how to perform all the duties expected of him. The American soldier expects his sergeant to be able to teach him how to do his job. And he expects even more from his officers.

Omar N. Bradley
General of the Army (1950-1953)

7-1. Army leaders apply character, presence, intellect, and abilities to the core leader competencies while guiding others toward a common goal and mission accomplishment. Direct leaders influence others person-to-person, such as a team leader who instructs, recognizes achievement, and encourages hard work. Organizational and strategic leaders influence those in their sphere of influence, including immediate subordinates and staffs, but often guide their organizations using indirect means of influence. At the direct level, a Platoon leader knows what a Battalion quartermaster wants done, not because the lieutenant was briefed personally, but because the lieutenant understands the commander's intent two levels up. The intent creates a critical link between the organizational and direct leadership levels. At all levels, leaders take advantage of formal and informal processes (see Chapter 3) to extend influence beyond the traditional chain of command.

7-2. The leading category of the core leader competencies includes four competencies. (See Appendix A for descriptions and examples of the core leader competencies.) Two competencies focus on who is being led and with what degree of authority and influence. **Leads others** and **extends influence beyond the chain of command**. The other leading competencies address two ways by which leaders to convey influence: **leads by example** and **communicates**.

- **Leads others** involves influencing Soldiers or Army civilians in the leader's unit or organization. This competency has a number of components including setting clear direction, enforcing standards and balancing the care of followers against mission requirements so they are a productive resource. Leading within an established chain of command with rules, procedures, and norms differs from leading outside an established organization or across command.
- **Extends influence beyond the chain of command** requires the ability to operate in an environment, encompassing higher and lower command structures, and using one's influence outside the traditional chain of command. This includes connecting with joint, allied, and multinational partners, as well as local nationals, and civilian-led governmental or nongovernmental agencies. In this area, leaders often must operate without designated authority or while their authority is not recognized by others.
- **Leads by example** is essential to leading effectively over the course of time. Whether they intend to or not, leaders provide an example that others consider and use in what they do. This competency reminds every leader to serve as a role model. What leaders do should be grounded in the Army Values and imbued with the Warrior Ethos.
- **Communicates** ensures that leaders attain a clear understanding of what needs to be done and why within their organization. This competency deals with maintaining clear focus on the team's efforts to achieve goals and tasks for mission accomplishment. It helps build consensus and is a critical tool for successful operations in diverse multinational settings. Successful leaders refine their communicating abilities by developing advanced oral, written, and listening

skills. Commanders use clear and concise mission orders and other standard forms of communication to convey their decisions to subordinates.

LEADS OTHERS

7-3. Former Army Chief of Staff Creighton W. Abrams once said,

The Army is people; its readiness to fight depends upon the readiness of its people, individually and as units. We improve our readiness and foster a ready state of mind by training, motivating and supporting our people, and by giving them a sense of participation in the Army's important endeavors.

7-4. All of the Army's core leader competencies, especially leading others, involve influence. Army leaders can draw on a variety of techniques to influence others. These range from obtaining compliance to holding a commitment to achieve (compliance is the act of conforming to a specific requirement or demand; commitment is willing dedication or allegiance to a cause or organization). Resistance is the opposite of compliance and commitment. There are many techniques for influencing others to comply or commit, and leaders can use one or more of them to fit to the specifics of any situation.

COMPLIANCE AND COMMITMENT

7-5. Compliance-focused influence is based primarily on the leader's authority. Giving a direct order to a follower is one approach to obtain compliance during a task. Compliance is appropriate for short-term, immediate requirements and for situations where little risk can be tolerated. Compliance techniques are also appropriate for leaders to use with others who are relatively unfamiliar with their tasks or unwilling or unable to commit fully to the request. If something needs to be done with little time for delay, and there is not a great need for a subordinate to understand why the request is made, then compliance is an acceptable approach. Compliance-focused influence is not particularly effective when a leader's greatest aim is to create initiative and high cohesion within the team.

7-6. Commitment-focused influence generally produces longer lasting and broader effects. Whereas compliance only changes a follower's behavior, commitment reaches deeper—changing attitudes and beliefs, as well as behavior. For example, when a leader builds responsibility among followers, they will likely demonstrate more initiative, personal involvement, and creativity. Commitment grows from an individual's desire to gain a sense of control and develop self-worth by contributing to the organization. Depending on the objective of the influence, leaders can strengthen commitment by reinforcing followers' identification with the Nation (loyalty), the Army (professionalism), the unit or organization (selfless service), the leadership in a unit (respect), and to the job (duty).

Influence Techniques

7-7. Leaders use several specific techniques for influence that fall along a continuum between compliance and commitment. The ten techniques described below seek different degrees of compliance or commitment ranging from pressure at the compliance end to relations building at the commitment end.

7-8. **Pressure** is applied when leaders use explicit demands to achieve compliance, such as establishing task completion deadlines with negative consequences imposed for unmet completion. Indirect pressure includes persistent reminders of the request and frequent checking. This technique should be used infrequently since it tends to trigger resentment from followers, especially if the leader-exercised pressure becomes too severe. When followers perceive that pressures are not mission related but originate from their leader's attempt to please superiors for personal recognition, resentment can quickly undermine an organization's morale, cohesion, and quality of performance. Pressure is a good choice when the stakes are high, time is short, and previous attempts at achieving commitment have not been successful.

7-9. **Legitimate requests** occur when leaders refer to their source of authority to establish the basis for a request. In the military, certain jobs must be done regardless of circumstances when subordinate leaders receive legitimate orders from higher headquarters. Reference to one's position suggests to those who are being influenced that there is the potential for official action if the request is not complied.

7-10. **Exchange** is an influence technique that leaders use when they make an offer to provide some desired item or action in trade for compliance with a request. The exchange technique requires that the leaders control certain resources or rewards that are valued by those being influenced. A four-day pass as reward for excelling during a maintenance inspection is an example of an exchange influence technique.

7-11. **Personal appeals** occur when the leader asks the follower to comply with a request based on friendship or loyalty. This might often be useful in a difficult situation when mutual trust is the key to success. The leader appeals to the follower by highlighting the subordinate leader's special talents and professional trust to strengthen him prior to taking on a tough mission. An S3 might ask a staff officer to brief at an important commander's conference if the S3 knows the staff officer will do the best job and convey the commander's intent.

7-12. **Collaboration** occurs when the leader cooperates in providing assistance or resources to carry out a directive or request. The leader makes the choice more attractive by being prepared to step in and resolve any problems. A major planning effort prior to a deployment for humanitarian assistance would require possible collaboration with joint, interagency, or multinational agencies.

7-13. **Rational persuasion** requires the leader to provide evidence, logical arguments, or explanations showing how a request is relevant to the goal. This is often the first approach to gaining compliance or commitment from followers and is likely to be effective if the leader is recognized as an expert in the specialty area to which the influence occurs. Leaders often draw from their own experience to give reasons that some task can be readily accomplished because the leader has tried it and done it.

7-14. **Applying** happens when the leader explains why a request will benefit a follower, such as giving them greater satisfaction in their work or performing a task a certain way that will save half the time. In contrast to the exchange technique, the benefits are out of the control of the leader. A commander may use the applying technique to inform a newly assigned noncommissioned officer that serving in an operational staff position. Prior to serving as a platoon sergeant, could provide him with invaluable experience. The commander points out that the additional knowledge may help the NCO achieve higher performance than his peers and possibly lead to an accelerated promotion to first sergeant.

7-15. **Inspiration** occurs when the leader fires up enthusiasm for a request by arousing strong emotions to build conviction. A leader may stress to a fellow officer that without help, the safety of the team may be at risk. By appropriately stressing the results of stronger commitment, a unit leader can inspire followers to surpass minimal standards and reach elite performance status.

7-16. **Participation** occurs when the leader asks a follower to take part in planning how to address a problem or meet an objective. Active participation leads to an increased sense of worth and recognition. It provides value to the effort and builds commitment to execute the commitment. Invitation to get involved is critical when senior leaders try to institutionalize a vision for long-term change. By involving key leaders of all levels during the planning phases, senior leaders ensure that their followers take stock in the vision. These subordinates will later be able to pursue critical intermediate and long-term objectives, even after senior leaders have moved on.

7-17. **Relationship building** is a technique in which leaders build positive rapport and a relationship of mutual trust, making followers more willing to support requests. Examples include showing personal interest in a follower's well-being, offering praise, and understanding a follower's perspective. This technique is best used over time. It is unrealistic to expect it can be applied hastily when it has not been previously used. With time, this approach can be a consistently effective way to gain commitment from followers.

Putting Influence Techniques to Work

7-18. To succeed and create true commitment, influencing techniques should be perceived as authentic and sincere. Positive influence comes from leaders who do what is right for the Army, the mission, the team, and each individual Soldier. Negative influence real and perceived emanates from leaders who primarily focus on personal gain and lack self-awareness. Even honorable intentions, if wrongly perceived

ATTRIBUTES

A-7. The core leader competencies are complemented by attributes that distinguish high performing leaders of character. Attributes are characteristics that are an inherent part of an individual's total core, physical, and intellectual aspects. Attributes shape how an individual behaves in their environment. Attributes for Army leaders are aligned to identity, presence, and intellectual capacity. (See Figures A-10 through A-12.)

A Leader of Character (Identity) Factors internal and central to a leader that which makes up an individual's core.	<ul style="list-style-type: none"> • Values are the principles, standards, or qualities considered essential for successful leaders. • Values are fundamental to help people discern right from wrong in any situation • The Army has set seven values that must be developed in all Army individuals: loyalty, duty, respect, selfless service, honor, integrity, and personal courage. • The propensity to experience something from another person's point of view. • The ability to identify with and enter into another person's feelings and emotions. • The desire to care for and take care of Soldiers and others. • The shared sentiment internal to Soldiers that represents the spirit of the profession of arms.
Army Values	<ul style="list-style-type: none"> • Values are the principles, standards, or qualities considered essential for successful leaders. • Values are fundamental to help people discern right from wrong in any situation • The Army has set seven values that must be developed in all Army individuals: loyalty, duty, respect, selfless service, honor, integrity, and personal courage.
Empathy	<ul style="list-style-type: none"> • The propensity to experience something from another person's point of view. • The ability to identify with and enter into another person's feelings and emotions.
Warrior Ethos	<ul style="list-style-type: none"> • The shared sentiment internal to Soldiers that represents the spirit of the profession of arms.

Figure A-10. Attributes associated with a leader of character (identity)

A Leader with Presence How a leader is perceived by others based on the leader's outward appearance, demeanor, actions, and words	<ul style="list-style-type: none"> • Possessing a commanding presence. • Projecting a professional image of authority.
Military bearing	<ul style="list-style-type: none"> • Possessing a commanding presence. • Projecting a professional image of authority.
Physically fit	<ul style="list-style-type: none"> • Having sound health, strength, and endurance that support one's emotional health and conceptual abilities under prolonged stress. • Projecting self-confidence and certainty in the unit's ability to succeed in whatever it does. • Demonstrating composure and an outward calm through steady control over one's emotions.
Confident	<ul style="list-style-type: none"> • Demonstrating composure and an outward calm through steady control over one's emotions. • Showing a tendency to recover quickly from setbacks, shock, injuries, adversity, and stress while maintaining a mission and organizational focus.
Resilient	<ul style="list-style-type: none"> • Showing a tendency to recover quickly from setbacks, shock, injuries, adversity, and stress while maintaining a mission and organizational focus.

Figure A-11. Attributes associated with a leader with presence

Leader Attributes and Core Leader Competencies

A Leader with Intellectual Capacity The mental resources or tendencies that shape a leader's conceptual abilities and impact of effectiveness.	
Agility	<ul style="list-style-type: none"> • Flexibility of mind. • The tendency to anticipate or adapt to uncertain or changing situations, to think through second- and third-order effects when current decisions or actions are not producing the desired effects. • The ability to break out of mental "sets" or habitual thought patterns, to improvise when faced with conceptual impasses. • The ability to quickly apply multiple perspectives and approaches to assessment, conceptualization, and evaluation.
Judgment	<ul style="list-style-type: none"> • The capacity to assess situations or circumstances shrewdly and to draw sound conclusions. • The tendency to form sound opinions and make sensible decisions and reliable guesses. • The ability to make sound decisions when all facts are not available.
Innovative	<ul style="list-style-type: none"> • The tendency to introduce new ideas when their opportunity exists or in the face of challenging circumstances. • Creativity in the production of ideas and objects that are both novel or original and worthwhile or appropriate.
Interpersonal tact	<ul style="list-style-type: none"> • The capacity to understand interactions with others. • Being aware of how others see you and sensing how to interact with them effectively. • Consciousness of character and motives of others and how that affects interacting with them.
Domain knowledge	<ul style="list-style-type: none"> • Possessing facts, beliefs, and logical assumptions in relevant areas. • Technical knowledge—specialized information associated with a particular function or system. • Tactical knowledge—understanding military tactics related to securing a designated objective through military means. • Joint knowledge—understanding joint organizations, their procedures, and their roles in national defense. • Cultural and geopolitical knowledge—understanding cultural, geographic, and political differences and sensitivities.

Figure A-12. Attributes associated with a leader with intellectual capacity

Course Evaluation Form

Title of Course: "IS YOUR PRACTICE BATTLE READY"

Date of Course: Feb. 20, 2018 Location: James R. Thompson Center Assembly Hall
Auditorium

Directions: On a scale of 1 to 5, (5 being the highest or best and 1 being the lowest or worst), please rate the program:

Rate how well this course satisfied your personal objectives 5 4 3 2 1

Comments: _____

Rate how well the environment contributed to the learning experience 5 4 3 2 1

Comments: _____

Rate how well the written materials contributed to the learning experience 5 4 3 2 1

Comments: _____

Rate the level of significant intellectual, educational or practical content 5 4 3 2 1

Comments: _____

Please rate the faculty using the same 1 – 5 scale:

Name: MS. ELISABETH PENNIX

Comments: _____

Name: MR. CONRAD C. NOWAK

Comments: _____

Overall Teaching Effectiveness					Effectiveness of Teaching Methods					Significant Current Intellectual or Practical Content				
5	4	3	2	1	5	4	3	2	1	5	4	3	2	1

SUGGESTIONS FOR FUTURE

SEMINARS: _____
