



Collaboration:

**A Training Curriculum
to Enhance the Effectiveness
of Criminal Justice Teams**

INSTRUCTIONAL MANUAL

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- Office for Victims of Crime
- Office on Violence Against Women

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This curriculum has been developed with one of the fundamental principles of collaboration in mind: that our work is strengthened exponentially when we reach out and include others. We have had the great pleasure to work with a talented and diverse Advisory Board throughout this project. Each of the Board's members brought unique interests and ideas to this endeavor. The Board included: Michael Clisham, of the Bucks County (PA) Juvenile Probation Department; Heike Gramckow, Ph.D., and David Rothman, Ph.D., of the National Center for State Courts; Richard Hoffman, formerly of the Justice Management Institute; and Patricia Murrell of the Center for the Study of Higher Education at the University of Memphis.

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EXECUTIVE SUMMARY

The National Resource Center on Collaboration in the Criminal and Juvenile Justice System (NRC) is a training and technical assistance project sponsored by the State Justice Institute (SJI) with funding from the National Institute of Corrections (NIC). The project has also received support from five federal agencies in the U.S. Department of Justice, Office of Justice Programs: the Bureau of Justice Assistance, the Drug Courts Program Office, the Office of Juvenile Justice and Delinquency Prevention, the Office for Victims of Crime, and the Office on Violence Against Women. The project was established to provide training and technical assistance to jurisdictions working collaboratively to address various issues confronting the courts and the criminal justice system. The project is administered by the Center for Effective Public Policy (the Center), a private, nonprofit criminal justice consulting firm in the Washington, D.C. area that is known for its ability to improve the collaborative efforts of multi-disciplinary teams. The National Center for State Courts is a past collaborator with the Center on the project.

This curriculum is designed to assist multi-disciplinary criminal justice teams in establishing or enhancing collaborative relationships. All teams can benefit from this curriculum, whether newly formed or long-ago established; whether tasked with a specific project (such as establishing a drug court or responding to domestic violence) or for a broader purpose (such as a multi-agency council mandated to oversee all criminal justice activities in a jurisdiction).

Collaboration has become somewhat of a “buzz word” in today’s work environment; the term is mentioned often to describe the work of teams, but is frequently misused and misunderstood. It is, however, quickly becoming a viable and promising way to conduct business, and professionals from the courts and the criminal justice system need to learn how to work effectively in a collaborative environment.

In jurisdictions across the country, locally-based initiatives, state-mandated efforts, and federally-supported criminal justice programs frequently rely on and require multi-disciplinary collaboration. However, the successful implementation of collaboration in the criminal justice field has many challenges, including:

- The adversarial nature of the legal system;
- The competition for scarce resources;
- The political pressure faced by elected officials;
- The creation or existence of agencies that have overlapping, duplicative responsibilities; and
- The creation or existence of agencies that have missions that are incongruous.

The purpose of this curriculum is to fill the knowledge and experience gaps that exist for criminal justice practitioners in learning how to negotiate these challenges and collaborate effectively in the justice system. In so doing, this curriculum uses an innovative approach to training multi-disciplinary criminal justice and court-based teams on how to work together collaboratively. It draws on and integrates theory, research, and practice in the areas of teamwork, group dynamics, adult learning, and organizational development, and is designed to make collaborative teams feel more positive about their work and perform more effectively.

The curriculum is designed to be delivered as a three-day, interactive workshop. It includes eight modules, each with plenary sessions and corresponding exercises. The topics covered include: characteristics of effective teams; values, vision, problems, and missions; team member roles and responsibilities; collaboration in American history; group dynamics; team lifecycles; and goals, objectives, and work planning. Included in the curriculum text are sample plenary scripts and slide presentations, exercise instructions, and complete participant packet materials, as well as the information and materials necessary to plan and execute a workshop based on this content.

INTRODUCTION

This training curriculum was designed for professionals in the criminal justice system who are attempting to collaborate more effectively with one another. It can be of particular use to court personnel, including those who work in specialized courts. State judicial educators can be used as a resource for the presentation of this curriculum.

This curriculum was developed and tested at several national workshops sponsored by the State Justice Institute (SJI) through the National Resource Center on Collaboration in the Criminal and Juvenile Justice System (NRC) project. It was also used on multiple occasions by the Office of Justice Programs, Bureau of Justice Assistance, to provide guidance on collaboration to its Serious and Violent Offender Reentry Initiative (SVORI) grantees. More than 100 multi-disciplinary collaborative teams participated in these events. The lessons learned from them and the feedback and input provided by the many teams that were involved in the workshops have been integrated into this curriculum.

The NRC Project

Background

The National Resource Center on Collaboration in the Criminal and Juvenile Justice System (NRC) is a training and technical assistance project sponsored by SJI with funding from the National Institute of Corrections (NIC). The project has also received support from five federal partners in the U.S. Department of Justice, Office of Justice Programs: the Bureau of Justice Assistance, the Drug Courts Program Office, the Office of Juvenile Justice and Delinquency Prevention, the Office for Victims of Crime, and the Office on Violence Against Women. The project was established to provide training and technical assistance to jurisdictions working collaboratively to address various issues confronting the courts and the criminal justice system. The project is administered by the Center for Effective Public Policy (the Center), a private, nonprofit criminal justice consulting firm in the Washington, D.C. area that is known for its ability to improve the collaborative efforts of multidisciplinary teams. The National Center for State Courts is a past collaborator with the Center on the project.

The purpose of the NRC project is to support the criminal justice community and the courts in their cross-agency collaborative efforts. The NRC consists of three interrelated initiatives, including: the Annual Collaboration Institute for Court-Based Teams; Targeted, Off-Site Technical Assistance; and Information Dissemination and Exchange. This training curriculum is a product of the information dissemination component.

Annual Collaboration Institute for Court-Based Teams

The NRC project supports the participation of five jurisdictions (each represented by a multi-disciplinary team) in an annual workshop on collaboration that is based on this curriculum. Teams are selected through a competitive application process. Those chosen to participate understand the value of collaboration; recognize and are willing to admit that they are encountering some difficulties with their collaborative efforts; and are interested in receiving support and, in particular, guidance from the project regarding how to address (and overcome) their problems.

Targeted, Off-Site Technical Assistance

The NRC project provides technical assistance to jurisdictions working to establish or maintain existing collaborative efforts to prevent and reduce crime, make better use of the resources of the courts and criminal justice system, and develop safer communities. Technical assistance is delivered to the jurisdictions through phone and e-mail support and is tailored to each jurisdiction's individual needs.

Information Dissemination

The information dissemination component is developing and making available a body of information to help professionals in the courts and the criminal justice system to establish and institutionalize effective collaborations in their jurisdictions. These resources integrate the past and existing work of the project and the experiences of the project's participating sites. The NRC's publications (which include, in addition to this curriculum, a handbook on collaboration, an article series, and monographs on leadership, the use of data to inform collaborative decisionmaking and policy development in criminal justice, and staff support and facilitation) will be disseminated in hard copy and made available on the project's dynamic and interactive Web site (www.collaborativejustice.org).

Chapter

1

General Curriculum Instructions

General Curriculum Instructions

Chapter

1

INTRODUCTION

This curriculum is designed to provide guidance to trainers who want to help teams that are focusing on any criminal justice problem or issue to improve their outcomes by enhancing their ability to collaborate across the bounds of agency and discipline. It is divided into three chapters.

This chapter includes background information on the curriculum, a brief overview of its theoretical basis, and general suggestions regarding how to use it most effectively. It describes the audience for whom the curriculum is intended, the critical faculty members, and the planning and preparations that are needed to deliver it in a workshop setting. The material provided in this chapter will assist trainers to convene a successful workshop.

Chapter 2 contains an overview of the curriculum and explains the purposes of each of the nine modules. A sample workshop agenda is provided to enable users to understand the inter-relatedness of the various modules.

Chapter 3 outlines strategies for developing and using the curriculum materials that should be included in packets and distributed to participants. Samples of these materials are also provided.

BACKGROUND INFORMATION

Collaboration as an Emerging Approach in Criminal Justice

It is commonplace to speak of the “criminal justice system” as if it were an entity organized in service to a single goal. However, the adversarial nature of criminal law and our courts, and the separation of powers inherent in our system of government mean that no such system really exists.

Key Points

- More and more frequently, locally-based initiatives, state-mandated efforts, and federally-supported programs require collaboration for success.
- Implementing collaboration in the field of criminal justice is very challenging.
- This curriculum is designed to enhance the ability of individuals from the courts and the criminal justice system to work together.
- The term “collaboration” is frequently misused and misunderstood.
- Collaboration improves the capacity of another for the benefit of all to achieve a common goal.
- This curriculum draws on theory, research, and promising practices in the areas of teamwork, group dynamics, adult learning, and organizational development.

To the general public, however, these fine points of law and policy are meaningless. Citizens in our communities expect that the agencies of the system will uphold the law and protect them from crime. It is the public's loss of confidence in the system and their demand for more safety for their tax dollars that have prompted the nation's courts and many entities in the criminal justice system to look for new ways to address problems, and to ask whether our reactive, adversarial approach to justice continues to make sense as our only or even primary response to crime.

In jurisdictions across the country, professionals from the courts and criminal justice system have begun to reach out both within and outside of the system to other agencies to work with them on collaborative efforts to address the safety and well-being of our communities. Counties, states, and the Federal government have encouraged and supported these efforts, recognizing the enormous potential for impacting crime and reducing costs when agencies share information, develop common goals, create compatible internal policies to support those goals, and join forces to analyze problems and create responsive solutions.

Rationale for Constructing this Curriculum

Locally-based initiatives, state-mandated efforts, and federally-supported criminal justice programs frequently rely on and require multi-disciplinary collaboration. However, the successful implementation of collaboration in the criminal justice field has many challenges, including:

- The adversarial nature of the legal system;
- Competition for scarce resources;
- Political pressure faced by elected officials;
- The creation or existence of agencies that have overlapping, duplicative responsibilities; and
- The creation or existence of agencies that have missions which are incongruous.

The purpose of this curriculum is to fill the knowledge and experience gaps that exist for criminal justice practitioners in learning how to negotiate these challenges and collaborate effectively in the criminal justice system. In so doing, this curriculum uses an innovative approach to training multi-disciplinary criminal justice teams on how to work together collaboratively. It is designed to make collaborative teams feel more positive about their work and perform more effectively.

What is Collaboration?

Collaboration has become somewhat of a “buzz word” in today's work environment; the term is mentioned often to describe the work of teams, but is frequently misused and misunderstood. Defining the term is difficult because of the ambiguities that exist in practical usage. For example, the word “collaboration” is commonly interchanged with terms such as “networking,” “cooperation,” and “coordination.” Chris Huxham (1996), in *Creating Collaborative Advantage*, provides definitions of these terms in an effort to distinguish collaboration:

- Networking is the sharing of information for the benefit of all parties;
- Coordination is the sharing of information and the changing of activities for the benefit of all and to achieve a shared goal; and
- Cooperation is the sharing of information, the changing of activities, and the dividing of resources for mutual benefit and to achieve a common goal. (Huxham, 1996)

Huxham distinguishes these terms from collaboration, indicating that **collaboration** is the sharing of information, the changing of activities, the dividing of resources, and the *improvement* of the capacity of another for the benefit of all and to achieve a common goal (Huxham, 1996).

It is the effort to *improve the capacity of others* that makes collaboration a unique enterprise. Collaboratives are different from cooperatives and coalitions because they involve more formal and sustained commitment, and rely on the conviction that, while retaining their uniqueness and autonomy, organizations that share and pursue common goals can accomplish much more together than they can alone.

Collaboration changes the way we work and requires a profound shift in our conception of how change is created. Collaboration shifts organizational focus from competing to consensus building; from working alone to including others; from thinking about activities to thinking about results and strategies; and from focusing on short-term accomplishments to demanding long-term results. Recently, both the theory and practice of collaboration have received increasing attention from scholars and practitioners. For instance, Mattessich and Monsey (1992) cite 19 factors leading to successful collaboration, and discuss 107 studies that have examined these factors and their relationship to highly effective collaborative teams. Other social scientists and researchers have determined that problem-solving on myriad issues that are vexing and complex — crime, drug abuse, race relations, unemployment, housing, education, pollution — is significantly enhanced by collaboration. That research informed the development of this curriculum.

How is Collaboration Addressed in this Curriculum?

This curriculum draws on theory, research, and promising practices in the areas of teamwork, group dynamics, adult learning, and organizational development. It draws on the lessons that are emerging in jurisdictions across the country where multi-disciplinary teams are effectively addressing their communities' most challenging court-based issues and criminal justice problems. Specifically, this curriculum examines the key factors and elements of collaboration, including:

- The importance of shared values and guiding principles;
- The development of clear visions, missions, and goals;
- Team member roles and responsibilities;
- Teamwork and team building;
- Group dynamics;
- Team member commitment and trust; and
- Team and project lifecycles.

This curriculum builds upon the principles of adult learning theory and the recognition that professionals learn most effectively when they have opportunities to process with one another the information that is presented and consider how it applies to their own diverse professional experiences. It includes a mix of plenary presentations and teamwork sessions, and participating teams are provided numerous opportunities to spend concentrated work time, as well as informal time, together. In addition, team members are required to participate in an experiential learning activity in which they have an opportunity to “practice” — and begin to assimilate — some of the collaboration skills that are introduced during the event.

This curriculum is also designed to:

- Facilitate a cumulative learning process for multi-disciplinary collaborative teams;
- Build knowledge from an understanding of basic concepts to the development and implementation of specific change strategies;
- Build a base of knowledge and understanding from which people can agree, which is a challenge because individuals on any multi-disciplinary team come from different agencies or parts of the system and may hold different philosophies;
- Facilitate the challenging process of bringing together the various segments of the criminal justice system; and
- Provide tools, such as surveys and exercises, for teams to use to assess their current state of collaboration and to develop specific strategies to enhance it.

This curriculum will be most effective when it is:

- Presented, complete with plenary and teamwork sessions, over three full days, as recommended; and
- Used in a retreat-like setting, far enough away from the participants' offices to ensure their concentration.

What Can Teams Expect to Gain from This Curriculum?

Teams can expect the following outcomes from this curriculum:

- A common understanding of the language and concepts of collaboration;
- An appreciation of the enhanced power and influence of collaborative, multi-disciplinary groups;
- Clarity regarding the specific roles and responsibilities of members;
- A clear sense of, and investment in, an elevating vision, shared values, a mission, and specific goals;
- A common understanding of the ways in which group dynamics impact their work;
- Agreement regarding where they are in the lifecycle of collaborative teams and the implications of this on their work;
- Exposure to the collaborative experiences of other court-based and criminal justice teams;
- A strengthening of bonds among members as individual people; and
- A clear action plan to enhance their collaboration and improve their work together.

Key Points

- Criminal justice teams should consider using this curriculum when collaboration is critical to successfully completing a specific project or to carry out on-going work in the criminal justice system.

TIPS AND CAUTIONS ASSOCIATED WITH USING THE CURRICULUM

The Audience

This curriculum is ideally designed for a workshop that includes four or more teams that are focused on a criminal justice or court-based issue. Ideally, these teams should each have a clear purpose or organizing principle, and an inter-agency, multi-disciplinary composition. The workshop should be conducted as a team-based event and it is crucial that participants be invited as teams. The workshop aims to provide team members with the knowledge they need to achieve a common purpose, assist them in examining closely their specific collaboration challenges and strengths, and help them to apply what they learn in a meaningful and immediate way.

Key Points

- Successful curriculum delivery is dependent on having the appropriate teams and team members at the workshop.
- Participants should be invited to the event as members of a team.
- The event is designed to help team members learn how to work better with one another to achieve a common purpose.

This curriculum has been created to be useful for teams regardless of their longevity or substantive focus within the courts or the criminal justice system. For example, teams may be working on developing a drug court, creating more comprehensive community responses to the needs of crime victims, addressing a jail crowding problem, managing the transition of offenders from prison to the community, or improving accessibility to the court. Their focus can be on an entire state, a region of a state, a county, or a town or city. Teams may be newly formed (the first meeting of the teams might be at the workshop) or long-tenured. They can have a policy review, revision, and/or development focus, or a narrower, more practical charge (e.g., multi-disciplinary collaborative teams that have been formed in counties to supervise a certain type of criminal offender more effectively).

Tailoring the Agenda to Include Material Unrelated to Collaboration

Faculty members are strongly encouraged to present the agenda in its entirety as it is contained herein, rather than attempting to change or tailor it for particular audiences, or combine it with sessions designed for other purposes. This curriculum was pilot tested in versions that included substantive or topical sessions, in addition to the collaboration-focused presentations. Workshop evaluations completed during these pilot tests indicated that these sessions were not as well received by the participants as those that focused exclusively on collaboration. Therefore, it is strongly recommended that users limit the focus of the work to "collaboration" and do not include unrelated substantive material or other workshop presentations.

The Amount of Time Required to Cover the Material in the Curriculum

During the numerous curriculum pilot tests, the workshop was presented in both two and a half and three day formats. During these tests, the three day format proved most effective because it gave the presenters time to cover the material in a measured and unhurried way. Feedback from participants on the workshop's length indicated that they thought the three days of training was time very well spent. To include all the content on collaboration contained in this curriculum and to provide sufficient time to develop the skills outlined and addressed in the numerous teamwork exercises, faculty are strongly encouraged to adhere to the three-day format, as it is presented.

Key Points

- The curriculum should be presented in its entirety over three days.

Workshop Faculty Members

There are a number of staff and faculty member roles associated with the workshop — all are very important and interdependent. The following faculty members are required to conduct this curriculum: a workshop moderator, team facilitators, presenters, and support staff members.

Participants will have a more interesting experience if they have an opportunity to interact with different faculty members during the workshop. It is recommended, therefore, that individual faculty members be assigned a particular role (i.e., the moderator, a presenter, or a team facilitator) and not be asked to wear many different “hats” during the workshop. Faculty will also be more effective and impactful if they are able to focus and concentrate on a specific role.

The skills and knowledge, and the responsibilities associated with moderating, presenting, facilitating a team, and serving as a support staff member at the workshop are as follows:

| Role | Skills and Knowledge, and Responsibilities |
|------------------|---|
| <i>Moderator</i> | <p><i>Skills and Knowledge</i></p> <ul style="list-style-type: none"> • Is an experienced facilitator who possesses strong organizational and interpersonal skills. • Understands adult learning theory and can employ a variety of techniques to instruct a group. <p><i>Responsibilities</i></p> <ul style="list-style-type: none"> • Convenes the initial and subsequent faculty meetings prior to the workshop. • Acts as the host and guide throughout the workshop. • Creates an upbeat tone and a positive atmosphere during the workshop. • Welcomes the participants and opens the workshop. • Summarizes the workshop goals, agenda, and the work to be done, and facilitates the icebreaker to allow the teams to begin to get to know one another at the beginning of the workshop. • Keeps the agenda moving and maintains the time limits associated with the plenary and teamwork sessions. • Manages the transitions between the plenary and teamwork sessions. • Summarizes and synthesizes throughout the workshop the key issues covered and lessons learned by the teams. • Introduces the various plenary presenters. • Closes the workshop after each day and at its conclusion on the third day. |

| Role | Skills and Knowledge, and Responsibilities |
|-----------------------------|---|
| <i>Presenter</i> | <p data-bbox="422 273 673 304"><i>Skills and Knowledge</i></p> <ul data-bbox="422 304 1425 430" style="list-style-type: none"> • Possesses excellent presentation skills, and has a dynamic and engaging presence in front of a large group. • Has an excellent command of the presentation material and is willing to deliver it in the manner presented in this curriculum. <p data-bbox="422 430 609 462"><i>Responsibilities</i></p> <ul data-bbox="422 462 1425 598" style="list-style-type: none"> • Instructs participants and presents substantive information during the plenary sessions. • Understands adult learning theory and can employ a variety of techniques to instruct a group. |
| <i>Team Facilitator</i> | <p data-bbox="422 619 673 651"><i>Skills and Knowledge</i></p> <ul data-bbox="422 651 1425 714" style="list-style-type: none"> • Is an experienced facilitator who possesses strong organizational and interpersonal skills. <p data-bbox="422 714 609 745"><i>Responsibilities</i></p> <ul data-bbox="422 745 1425 1354" style="list-style-type: none"> • Assists the team to which she or he is assigned in understanding the workshop goals and agenda, and in executing the teamwork exercises. • Facilitates team member interactions and decisionmaking. • Mediates conflicts among team members and facilitates productive and positive communication among them. • Differentiates between substantive issues and the collaborative work process of the team. • Clarifies the purpose of the team’s activities during the workshop. • Records the key points of the team’s discussion on a flipchart, as well as any products of the discussion (e.g., a workplan, etc.). • Offers new ideas and different perspectives regarding the team’s problems, issues, and work. • Seeks, as necessary, clarification, additional suggestions, and specific facts related to the problems and challenges being discussed by the team. • Assists the team members to stay grounded in their values during their discussions. • Clarifies the various ideas, proposals, and suggestions that emerge from the discussions, and synthesizes and summarizes them for the team. • Assesses the team’s progress and reflects that assessment back to the group. • Joins the team at their table during the plenary sessions throughout the workshop. |
| <i>Support Staff Member</i> | <p data-bbox="422 1375 673 1407"><i>Skills and Knowledge</i></p> <ul data-bbox="422 1407 1425 1533" style="list-style-type: none"> • Can manage the logistical issues and requirements associated with an event (conducted in a hotel or other meeting facility) that requires audio-visual equipment and includes multiple teams, a number of rooms, morning and afternoon breaks, and meals. <p data-bbox="422 1533 609 1564"><i>Responsibilities</i></p> <ul data-bbox="422 1564 1425 1850" style="list-style-type: none"> • Oversees all of the logistical arrangements associated with the workshop. • Manages the identification and preparation of the meeting space. • Negotiates hotel contracts, arranges meals, and oversees travel plans for participants, if they are required. • Ensures that the plenary and breakout rooms are set up appropriately, and that audio-visual equipment is available and functioning properly. • Attends to participant needs during the workshop. • Acts as a liaison with meeting space personnel (e.g., hotel staff, audio-visual technicians, etc.). |

WORKSHOP PREPARATION

Developing a Work Plan

Detailed and very careful planning prior to the workshop helps to maximize its effectiveness and positive impact on the participants. Those who are responsible for planning the workshop are strongly encouraged to develop a detailed work plan (with specific assignments and reasonable due dates) to guide and inform their efforts. *A sample work plan and two checklists related to it are included later in this chapter.* Some of the key components of the workshop planning process are described below.

Preparing and Communicating with the Teams

Scheduling the Workshop

For maximum participation by key team members — particularly those whose calendars typically fill up months in advance — the workshop should be scheduled and potential participants should be notified as early as possible (at least three to four months in advance). This will also help to ensure the availability of both desirable meeting space and the most skilled and knowledgeable faculty members.

Inviting Teams to Participate

Multi-disciplinary teams formed to address issues related to the work of the courts and the criminal justice system typically include judges, prosecutors, defense attorneys, court administrators, correctional agency representatives, supervision agency representatives, law enforcement representatives, victim advocates, treatment providers, ancillary service providers, nonprofit and community organization representatives, and legislators. Sometimes, full teams will be too large for all members to attend the workshop. It may be necessary, therefore, for participating teams to select representatives from among their larger membership. In advising them or in delineating who should come to the workshop, users of this curriculum should encourage the inclusion of team members who:

- Are central to carrying out the team's purpose (e.g., if the team is planning a drug court or is seeking to improve court accessibility, a key judge and the court administrator are likely to be essential);
- Are committed to or have a significant stake in the team's continued progress and success;
- Have sufficient stature within their own agency to influence how the team's work is conducted;
- Represent the key agencies or stakeholders whose participation, support, and cooperation are needed for success; and
- Have been given the authority to make decisions and to plan activities on behalf of the team.

An invitation letter should be sent to the representative on each team who will coordinate the team's participation in the workshop. The letter should introduce the agency that is sponsoring the workshop, explain the event's purpose (and the positive outcomes associated with it), and invite the team to participate. The letter should clearly state that the workshop's focus is collaboration and that no other substantive topics related to the work of the team will be addressed.

If there is a limit on the number of participants from each team, the letter should provide the person coordinating attendance with suggestions about how to select members to be present at the event. The letter should also include a member sign-up form for the team leader to complete and return to the workshop host within a specified amount of time. The form requests the name, title, agency, address, telephone number, fax number, and e-mail address of each team member who will participate. This information is needed to create a complete and accurate participant list, name badges, table tents, and other materials. *A sample team invitation letter and team member sign-up form are included later in this chapter.*

Inviting Individual Team Members to Participate

Once each participating team's sign-up form has been returned, an individualized letter should be sent to every team member by the hosting agency or entity. It is strongly recommended that the letters be personalized, with letters addressed to the individual participants. This letter will help to reduce participant confusion by outlining the logistical arrangements associated with the event, ensure that each person is directly notified of their invitation to the workshop, and help them to feel more personally connected to the upcoming event. In addition, it will provide the workshop host with an opportunity to check in with each participant regarding any special needs (e.g., diet, mobility, etc.) that must be addressed at the workshop, and to verify the accuracy and completeness of their contact information.

The tailored invitation letters should:

- Explain the role of the sponsoring agency or entity;
- Outline the purpose of the workshop, including its focus on collaboration (and not on the substantive issues related to the participating teams' work);
- Provide logistical instructions, including guidance regarding how to make travel and hotel reservations, if necessary;
- Describe financial sponsorship of the event; and
- Be accompanied by a one page form that inquires about the individual's special needs and the accuracy of their contact information.

Samples of the individual team member invitation letter and the one page special needs and contact information form are included later in this chapter.

Developing a Welcome Letter

If the workshop is being conducted in a hotel or if the teams are staying in a hotel while they participate, a letter should be distributed to each person when they check in that welcomes them to the event (and the city where it is being held) and reminds them of its start time and location. *A sample welcome letter is included later in this chapter.*

Preparing the Faculty

Meetings with the Faculty Members

The workshop moderator and hosting agency/entity should conduct conference calls with the faculty members in the weeks prior to the workshop in order to outline and describe the presenters' and facilitators' roles and responsibilities, review the workshop goals and agenda for the first time,

describe the participating teams, and discuss the logistical arrangements associated with the event. The information provided during these calls will help faculty members prepare for the workshop.

In addition, the workshop moderator and hosting agency/entity should convene at least one faculty meeting for team facilitators, presenters, and support staff members prior to the workshop. (During the pilot tests of this curriculum, this meeting was conducted the evening before each workshop began.) At this meeting, the workshop goals, agenda, and teamwork exercises are reviewed one last time and faculty members have an opportunity to ask final questions about their responsibilities, the agenda, the participating teams, and the facility. At this meeting, all faculty members should receive the packet of materials that will be provided to the participants during the workshop, as well as any other instructions or materials that have been prepared specifically for them (such as written descriptions of the teams).

Brief faculty meetings should also be held at the end of each day of the workshop and at the conclusion of the event. During these meetings, faculty can ask questions, voice concerns, and make suggestions for changes (during the remainder of the meeting or in future events) that will ensure that the activities and presentations are as helpful as possible to the participating teams.

Teamwork Exercises

It is important for the facilitators who will be leading the teams through their discussions at the workshop to be very familiar with the teamwork exercises (which are described in detail later in this curriculum) and to be aware of the stature of team members, the team's collaborative work to date, and the challenges and issues the team is facing. Ideally, each team is composed of members with similar stature so that each has "equal footing." Given the nature and composition of criminal justice teams, however, it is likely that some members will have far more stature in the group than others. It is a common problem, for example, that in any group that includes a judge or an elected prosecutor, the other members will defer (almost reflexively!) to him or her. Similarly, a victim advocate or representative of a community-based organization may feel intimidated to be at the same table with a judge or prosecutor. In other cases, the confidence and verbal skills of some members may undermine the ability of others to participate equally. Agency heads may be accustomed to giving orders, and struggle with being only one person among equals. This curriculum is designed to help team members manage these very common issues and problems. The leadership of a skilled, informed, and thoroughly prepared facilitator during the event's teamwork sessions will help as well, as he or she can model and use simple techniques that can help balance the different voices at the table.

Preparing the Meeting Facility

It is critical that a specific workshop location be identified and confirmed well in advance of the event (ideally, several months prior to it). The workshop should be conducted at a site that is convenient for the participants, but far enough away from their offices to provide a retreat-like atmosphere. If participants' travel requires overnight stays, hotel accommodations will also be necessary.

Plenary Room

The plenary room is where the workshop's general sessions take place. The room should be set up to accommodate all of the presentations and activities to be conducted there. The equipment and

supplies required in the plenary room will likely include a computer and an LCD projector for PowerPoint® presentations, a projection screen, a lavalier (or handheld) microphone, flipcharts, masking tape, markers, colored paper, scissors, and glue. Each team should be assigned a round table with an identifying table tent. An extra round table will be needed for faculty members and other staff who are not facilitating teams (with an identifying “Faculty” table tent).

Resource Table

The plenary room should also have a table (with an identifying “Resources” table tent) on which to display written materials related to multi-disciplinary collaboration. Most of the modules in this curriculum include recommended resources that might be offered as additional reference material.

Breakout Rooms

Each team should be assigned to a separate breakout room where they will conduct their teamwork sessions. In the participant evaluations collected during the pilot tests of this curriculum, team members consistently reported that having a separate room in which to conduct their work was an important and valuable aspect of the event. Each breakout room should be set up “conference style,” with a flipchart, several markers, and masking tape.

Preparing for the Special Activities in the Curriculum

Working Together: A Profile of Collaboration (“The Collaboration Survey”)

The first teamwork activity occurs during the late morning of the first day of the workshop and focuses on the results of the Collaboration Survey, a tool designed to help teams assess in a structured way the current status of their collaborations, and to identify their specific collaboration needs. It was developed by David Chrislip and Dr. Carl Larson and published in their book, *Collaborative Leadership: How Citizens and Civic Leaders Can Make a Difference* (1994). It is based on their observations and research on highly functioning, successful collaborative teams. The survey includes 40 questions; team members are asked to respond to each on a scale of one to four.

Facilitators will need a method to summarize team members’ responses quickly (in no more than about 15 minutes) and easily so that their teams can discuss the results of the survey immediately after taking it. During the pilot tests of this curriculum, this summarization work was done in two ways: manually (using only a calculator) and with a spreadsheet. Facilitators found that the

Key Points

- An appropriate location should be chosen well in advance.
- A plenary room that can comfortably accommodate all the participants and workshop staff should be secured for presentations.
- A resource table should be set up in the plenary room with information on team collaboration.
- Separate breakout rooms for teamwork sessions should be secured.

Key Points

- Facilitators should be prepared to summarize the results of the Collaboration Survey very quickly.
- The True Colors™ booklet and *The Goose Story* video should be ordered prior to the workshop.

spreadsheet was, by far, the most effective way to generate the results of the survey. Prior to the workshop, one spreadsheet was developed for each team that included:

- Every survey question;
- The number of team members (to ensure there was room to record all members' responses);
- Calculations for the average score, the lowest score, the highest score, and range of scores for each question; and
- Space for written comments.

During the pilot tests, each facilitator was provided with a laptop to input the information from the surveys into their team's spreadsheet very quickly. *An example of a spreadsheet is provided later in this curriculum.*

True Colors™ Exercise

At the end of the first day of the workshop, the teams participate in the exercise, *True Colors: Keys to Personal Success™*. It was developed by the True Colors Communications Group and helps team members to understand — through simple personality typing — their own and their colleagues' work styles and approaches. Teams who used True Colors™ during the pilot tests of this curriculum found it to be enjoyable, worthwhile, and simple to complete. Each team member determines which one of the four “colors,” or personalities, they are most like. Teams then do some processing of their members' colors. *Specific instructions on how to facilitate the True Colors™ exercise are included later in this curriculum.*

Although there are several products on the market that can accomplish the goal of this exercise, the developers of this curriculum found True Colors™ to be very effective. To order *True Colors: Keys to Personal Success™*, please contact:

Connie Jennings
Customer Support/Order Desk
True Colors Communications Group
Tel: 1-800-422-4686
E-mail: connie@true-colors.com
Web site: www.true-colors.com

Experiential Learning Exercise

One of the unique features of this curriculum is the experiential learning exercise, which takes place at the end of the second day of the workshop, and underscores and reinforces the concepts of collaboration included in this curriculum. Participants spend the afternoon of the second day of the workshop exploring a local historical site and then reconvene on the following morning to share and discuss their experiences with the other teams. This activity was described by team members who

Key Points

- The experiential learning exercise requires extensive preparation by staff prior to the start of the workshop.
- Staff must tailor this portion of the workshop to the community in which the workshop will be conducted.
- Staff should plan carefully the participants' trip to the experiential learning exercise's location(s).

participated in it during the pilot tests of this curriculum as crucial to their understanding of collaboration and its relevance to their work as part of multi-disciplinary teams.

The experiential learning exercise requires considerable preparation because it must be tailored to the location in which the workshop will be conducted. Staff should contact the local historical society, chamber of commerce, or similar organization for more information about historic sites in the area.

Once the site or sites are identified, staff must plan how the participants will get to them. To ensure a hassle-free (and disaster-free!) experience, staff members need to be very deliberate and thoughtful in their planning of this exercise. For example, is there public transportation available? If so, will the participants need passes or farecards to use it? Staff should provide maps and detailed descriptions of all the possible exercise destinations, including addresses, telephone numbers, and hours of operation. *(This curriculum includes all of the materials associated with the experiential learning exercise that were used during the pilot workshops.)* Staff might also consider other, creative ways to make this a productive, memorable, and fun experience for the teams (for example, by providing disposable cameras).

The experiential learning exercise should be a surprise; participants should not be told about the specifics of it in advance. (During the pilot workshops, participants said the surprise factor enhanced the overall experience.) Staff members should, however, prepare the participants for the activity, without “giving it away.” For example, in the invitation letters to participants, they should be reminded of the event’s casual dress code and encouraged to wear comfortable shoes and dress on the second day, when the experiential learning exercise is conducted.

The Goose Story Video

The final activity of the workshop is the screening of a very brief video, *The Goose Story* (1992), which is explained later in this curriculum. The video can be purchased from the National Juvenile Detention Association. Contact information is as follows:

National Juvenile Detention Association
Eastern Kentucky University
301 Perkins Building
521 Lancaster Avenue
Richmond, Kentucky 40475-3102
Tel: 859-622-6259
Fax: 859-622-2333
E-mail: NJDAEKU@aol.com
Web site: www.njda.com

Assembling Support Materials for the Workshop

While preparing for the workshop, staff members should assemble the materials needed to conduct the event. The participant packet (fully described later in this curriculum) is the most important, but other crucial materials to develop or attain include:

- A nametag for each participant, faculty member, and representative from the workshop's funding agencies that will be present;
- Table tents for the teams' tables, the faculty table, the resource materials table, and the discipline-specific concurrent discussion sessions (described later in this curriculum);
- An experiential learning exercise package for each team that includes a copy of the exercise for each participant, farecards or other method of payment for the public transportation system (if relevant), maps, and other necessary items;
- Support materials for specific workshop activities and exercises, and True Colors™ booklets (which will not be included in the participant packets, but rather distributed during the workshop);
- A flipchart, a set of markers, masking tape, transparencies, and transparency markers for each team's use in their breakout room;
- Materials for the resource table;
- *The Goose Story* video;
- Computer disks that contain the PowerPoint® presentations to be used in the plenary sessions. These presentations should also be loaded onto the hard drive of the computer that will be in the plenary room;
- Transparencies that contain the presentations, if PowerPoint® is not used;
- An LCD Projector (if PowerPoint® is being used at the workshop and if the facility where the event is being conducted is not providing one);
- A VCR (if the facility where the workshop is being conducted is not providing one);
- Laptop computers (preferably one per facilitator);
- A printer (to update or create new nametags and other materials, as necessary);
- Computer disks that contain the Collaboration Survey spreadsheets tailored to the size of each participating team;
- Standard meeting supplies, including printer paper, colored paper, markers, tape, scissors, glue, etc.; and
- Participant expense reimbursement forms, if applicable.

Key Points

- Nametags, table tents, the experiential learning exercise package, True Colors™ booklets, flipcharts, markers, masking tape, transparencies, transparency markers, and other materials should be assembled prior to the workshop.
- Breaks and meals should be arranged.

Planning Refreshments and Meals

The feedback provided by the individuals who participated in the pilot tests strongly suggests that:

- Refreshments (coffee, tea, juice, soda, fruit, cookies, etc.) should be provided during the workshop's regular breaks, if possible;
- Lunches should be provided during the workshop; and
- Team-building or teamwork activities should be conducted during lunches to maximize the use of the very limited time during the workshop. (This curriculum contains lunch activity recommendations.)

KEY ACTIVITIES DURING THE WORKSHOP

The following activities will help to ensure a successful, well-organized event.

- *Teamwork Exercises* — Every teamwork exercise (discussed in depth later in this curriculum) has been developed to achieve a number of important goals and is accompanied by specific instructions. Each assists the multi-disciplinary teams in exploring the issues related to collaboration that are introduced briefly during the curriculum's plenary sessions. It will not be unusual for one or even all of the teams to struggle to complete each exercise in the allotted time. This is not only acceptable, but expected. The limited time provided to complete the exercises encourages teams to work quickly during their breakout sessions and to revisit their discussions when they return home. Team members and facilitators should not, therefore, become discouraged because of unfinished conversations. Instead, teams should add the completion of these exercises to their plans of action to guide their work when they return home. Some partial teams (teams that are missing members) have found that starting the exercises anew with their full teams after returning home to be a particularly valuable use of their time.
- *Notes from the Teamwork Sessions* — Meeting facility personnel should be instructed not to remove or throw away the flipchart pages from the breakout rooms that are used by the teams during or at the conclusion of the event. These pages, often posted on the walls of the breakout rooms, are critical to the work of each team.
- *Faculty Meetings* — The workshop moderator should convene and facilitate faculty meetings at the end of each day of the workshop. These meetings will provide opportunities for the faculty members and staff to raise questions and concerns about the event, and to suggest changes in the agenda that will address the needs of the participants.
- *Time Management* — Because the workshop agenda is a very complicated and busy one, with a great deal of movement by multiple teams between the plenary room and their breakout rooms, all staff and faculty members should work to ensure that each segment of the workshop begins and ends on time.

KEY ACTIVITIES AFTER THE WORKSHOP

Following the workshop, the faculty members and staff may want to:

- Compile and summarize the participant evaluations so that the feedback provided can be used to enhance and improve future workshops; and
- Create a meeting record for each team by transcribing and summarizing the flipchart notes recorded by each facilitator. These records can be distributed to the team leaders to inform and enhance their future work.

SAMPLE WORKSHOP AND PREPARATION MATERIALS

Date (*The invitation letter to team coordinators should be sent three to four months before the workshop.*)

Name

Title

Agency

Address 1

Address 2

City, State, Zip

Via Fax:

Dear Name:

I am pleased to announce the availability of a new, interactive workshop on the issue of collaboration to assist you and your colleagues in your work as a collaborative, multi-disciplinary policy team in the criminal justice field. The workshop, called *Enhancing the Effectiveness of Collaborative Teams*, will be conducted from **Date A to Date B at the Class Act Hotel in Any City, State**. This letter includes detailed information about this event and serves as an invitation to you and your colleagues on your team to participate in it.

Background: National Resource Center on Collaboration Project

This workshop is part of the National Resource Center on Collaboration in the Criminal and Juvenile Justice System (NRC) project. The project is funded by the State Justice Institute and administered by the Center for Effective Public Policy (the Center), a private, nonprofit criminal justice consulting firm in the Washington, D.C. area that is known for its ability to improve the collaborative efforts of multi-disciplinary teams. Staff members from the Center will conduct the workshop.

The NRC was established to provide training and technical assistance support to jurisdictions working collaboratively to address a variety of issues related to criminal justice and the work of the courts today. As such, the NRC is a resource that the criminal justice and courts community use for support in their collaborative efforts.

Overview of the Workshop

X (insert number) criminal justice teams have been selected to participate in the upcoming workshop. The purpose of the event is to advance the teams' efforts by focusing on the critical elements of successful collaboratives. The issues that will be addressed during the workshop include:

- The vital role that effective collaboration plays in creating and achieving desired outcomes;
- Team member roles and responsibilities;
- The importance of shared values, collective visions and missions, and clear goals;
- Group dynamics; and
- Team lifecycles.

The workshop will provide the teams with an opportunity to reflect critically and comprehensively on their collaborative work to date, and identify the ways in which they can strengthen and enhance their efforts. It will *not* focus on the substantive aspects of the work of your team.

Sample Invitation Letter Continues on Next Page

Team Composition

All participating teams must be composed of policymakers and administrators, be agency and discipline diverse, and share responsibility for addressing the criminal justice problem or issue on which the team is focused. The agencies and disciplines that should be represented on your team include:

- The judiciary;
- Other court personnel, including prosecutors, public defenders, and court administrators;
- Institutional and community corrections;
- The parole board or other releasing authority;
- Substance abuse, housing, mental health, education, employment (including Workforce Development Boards), child support, and other community service entities;
- Citizen, victim advocacy, and faith-based groups;
- State and local law enforcement organizations; and
- Organizations that could evaluate programs and provide research information to the other team members.

Once you have identified the team members who will participate in the workshop, please complete the attached Team Member Sign-Up Form and return it to me via fax no later than **Date**. *(The form should be completed and returned as quickly as possible, and no later than 10 weeks before the workshop.)*

Workshop Funding

Limited funding is being provided by the NRC project to support the participating teams' expenses associated with the workshop. There are resources available to support the costs of travel, accommodations, meals, and related expenses for up to 10 members of each team.

Next Steps

To begin planning for your team's participation in this important training opportunity, please contact me at the Center via phone (555-555-5555) or e-mail (al.forwon@email.com) at your earliest convenience. If I am not available, please be in touch with my colleague, Tia Mates at the same phone number or at tia.mates@email.com. Tia or I will provide you with some additional information about the workshop, answer any questions that you might have, and assist you to identify the individuals from your team who will participate in the event (so that you can complete and return the attached Team Member Sign-Up Form as quickly as possible).

I look forward to working with you and your colleagues.

Sincerely,

Al Forwon
Project Director

Attachment

TEAM MEMBER SIGN-UP FORM

To: **Al Forwon, Project Director**
Fax: 555-555-5555
From:
Date:
Re: Participant List for Upcoming Collaboration Workshop Pages: 1

Please complete and return this form by Date. *(The form should be returned no later than 10 weeks before the workshop.)*

Name of Team: _____

1 NAME: _____
TITLE: _____
AGENCY: _____
ADDRESS: _____
CITY, STATE, ZIP: _____
E-MAIL: _____

5 NAME: _____
TITLE: _____
AGENCY: _____
ADDRESS: _____
CITY, STATE, ZIP: _____
E-MAIL: _____

2 NAME: _____
TITLE: _____
AGENCY: _____
ADDRESS: _____
CITY, STATE, ZIP: _____
E-MAIL: _____

6 NAME: _____
TITLE: _____
AGENCY: _____
ADDRESS: _____
CITY, STATE, ZIP: _____
E-MAIL: _____

3 NAME: _____
TITLE: _____
AGENCY: _____
ADDRESS: _____
CITY, STATE, ZIP: _____
E-MAIL: _____

7 NAME: _____
TITLE: _____
AGENCY: _____
ADDRESS: _____
CITY, STATE, ZIP: _____
E-MAIL: _____

4 NAME: _____
TITLE: _____
AGENCY: _____
ADDRESS: _____
CITY, STATE, ZIP: _____
E-MAIL: _____

8 NAME: _____
TITLE: _____
AGENCY: _____
ADDRESS: _____
CITY, STATE, ZIP: _____
E-MAIL: _____

Sample Invitation Letter for Individual Participants and Sample Special Needs and Contact Information Form

Date *(The invitation letter should be sent to the participants no later than 8 weeks before the workshop.)*

Name

Title

Agency

Address 1

Address 2

City, State, Zip

Via Fax:

Dear Name:

This letter will serve as a final confirmation of your participation in the workshop *Enhancing the Effectiveness of Collaborative Teams* as a member of the *(insert name of team)* team from *(insert jurisdiction)*. This event — which is a part of the National Resource Center on Collaboration in the Criminal and Juvenile Justice System (NRC) project — will be conducted from **Date A to Date B at the Class Act Hotel in Any City, State.**

The purpose of this letter is to provide you with information regarding the NRC project, the goals and agenda of the workshop, and the travel logistics you will need to attend the event. **Upon your receipt of this letter, please carefully read the sub-section entitled, “Hotel and Travel Logistics” and book your flight immediately — and no later than Date.** *(Participants should make their travel arrangements no later than 6 weeks before the workshop.)*

Background: The NRC Project

The NRC project is funded by the State Justice Institute and administered by the Center for Effective Public Policy (the Center), a private, nonprofit criminal justice consulting firm in the Washington, D.C. area that is known for its ability to improve the collaborative efforts of multi-disciplinary teams. Staff members from the Center will conduct the workshop.

The NRC was established to provide training and technical assistance support to jurisdictions working collaboratively to address a variety of issues related to criminal justice and the work of the courts today. As such, the NRC is a resource to the criminal justice and courts community for support in building more effective collaborative teams.

Workshop Overview

Your jurisdiction represents one of **X** *(insert number)* criminal justice teams selected to participate in this workshop. It will focus on the fundamental elements of collaboration, which are crucial to the success of your efforts. The event will not focus on the substantive aspects of your work.

The goals of this training are to:

- Promote a common understanding of the language and concepts of collaboration;
- Provide teams an opportunity to articulate their vision, mission, and goals, and the importance of collaboration to their work;
- Enable teams to understand their team and project lifecycles and assess their own place in these cycles;
- Promote team building; and

Sample Invitation Letter Continues on Next Page

Sample Invitation Letter for Individual Participants and Sample Special Needs and Contact Information Form

- Provide an opportunity for team members to share common experiences with one another.

The training will begin at 9:00 a.m. on **Date A** and will conclude no later than 4:00 p.m. on **Date B**. The agenda will be a mix of plenary presentations, panel discussions, and teamwork sessions. Teams will have the opportunity to spend concentrated work time together, and have a chance to meet and network with the other teams in attendance.

Hotel and Travel Logistics

The workshop will be conducted at the **Class Act Hotel in Any City, State**. The contact information for the hotel is:

| | |
|-----------------------|-------------------|
| Class Act Hotel | |
| 1 Main Street | Tel: 555-555-5555 |
| Any City, State 11111 | Fax: 555-555-5555 |

We will reserve a room for you at the **Class Act** under a master account; it is not necessary for you to call the hotel to reserve a room. The NRC project will cover the costs of all room and tax charges incurred by you on the nights of (*insert specific nights*). However, you will be required to submit a credit card at check-in to cover any incidental costs, such as movies or room service.

The project will also provide meals for all participants. Any meals not included as part of the workshop package will be reimbursed at the government per diem rate (which is \$XX per day). You will receive a reimbursement form at the training for these expenses.

All air travel arrangements must be made through the Center's travel agent. His contact information is:

| | |
|----------------------|------------------------------|
| Alan Bord | Tel: 555-555-5555 |
| Travel Consultant | Fax: 555-555-5555 |
| See the World Travel | E-mail: alan.bord@travel.com |

The NRC project will cover the costs of your travel, but it must be arranged through our travel agent no later than **Date**. (*Participants should make their travel arrangements no later than 6 weeks before the workshop.*) In order to secure the most reasonable fares, it is typically necessary to purchase non-refundable, non-transferable airline tickets. Therefore, we will ask you to be certain of your commitment to attend the workshop before making your flight reservations. Upon receiving this letter and confirming your commitment to attend, contact Alan Bord as soon as possible to book your flight. Unless you indicate to Mr. Bord otherwise, he will issue an e-ticket for your travel.

Other travel expenses, such as airport parking, hotel shuttle costs, and car mileage, will also be reimbursed by the NRC project. Receipts for these expenses are required and should be submitted along with your participant reimbursement form, which will be provided at the training.

If you have any questions about your travel arrangements or the logistics associated with this event, or if an emergency arises, please feel free to contact our Meeting Planner, Claire Asday, at 555-555-5555.

Workshop Dress Code

Please feel free to dress very casually at the workshop; jeans, shorts, and sneakers are appropriate. On the second day of the session, please plan to wear comfortable shoes, as you and your colleagues will be participating in an experiential learning exercise that will likely require some walking.

Special Needs and Your Contact Information

Attached to this letter you will find a one page document that inquires about any special needs (diet, mobility, etc.) that we should address at the workshop, your contact information, and the name that you would like us to use on your nametag. Please complete this form no later than **Date** and return it to me via fax. *(This form should be submitted no later than 4 weeks before the workshop.)*

If you have any questions about this meeting, please do not hesitate to contact Tia Mates, the NRC Project Manager, or me at 555-555-5555. We look forward to working with you!

Sincerely,

Al Forwon
Project Director
Attachment

Enhancing the Effectiveness of Collaborative Teams: A Training Workshop for Criminal Justice Teams

*Class Act Hotel
Any City, State*

Date A — Date B

Contact Information

Please review your contact information and note any changes or corrections that you would like us to include in the participant list.

Mr./Ms./Mrs./Other _____
Linda Jones
Policy and Planning Manager
150 John Smith Plaza
Any Town, State 55555
Phone: (555) 555-5555
Fax: (555) 555-5555
E-mail: lindajones@email.com

In the space below, please provide us with your name as you would like it to appear on your nametag.

Special Needs

Do you have any special needs (e.g., dietary restrictions, accessibility issues, etc.) that you would like us to be aware of and to address with the hotel during our workshop preparations? If so, please explain in the space below or call Tia Mates at 555-555-5555.

Please Fax to: Al Forwon, Project Director

Fax # 555-555-5555

NO LATER THAN Date (*no later than 4 weeks before the workshop*)

Sample Welcome Letter

Date *(This should be the date that the participants arrive at the hotel.)*

Dear Ms. Jones:

Welcome to the Any City metro area. We are extremely pleased that you are able to attend the workshop *Enhancing the Effectiveness of Collaborative Teams*.

If you have arrived early or will be staying on to sightsee after our meeting, we hope that you will be able to take advantage of the Class Act Hotel's facilities, and enjoy the many attractions of Any City. There are numerous historical sites and fine restaurants in this area that are easily accessible on foot or by the public transportation system. The concierge will be pleased to direct you should you wish to venture about the city.

The workshop will convene tomorrow morning in the Ballroom in this hotel. We will begin promptly at 9:00 a.m. A continental breakfast will be served outside of the Ballroom beginning at 8:00 a.m.

Please do not hesitate to let me or one of my colleagues know if you need anything during the event. Once again, I welcome you to Any City and thank you for joining us.

Sincerely,

Al Forwon
Project Director

WORKSHOP SUPPLIES

| Tasks | Who | When |
|---|-----|------|
| Order the following for delivery: <ul style="list-style-type: none"> • Name tags • Large labels for participant packets and experiential learning exercise envelopes • Small labels for participants' confirmation and welcome letter envelopes • Large envelopes (one per team) for the materials associated with the experiential learning exercise • Packets for participant materials (different color for each team) • Table tents (teams + "Resource Table" + faculty + enough for discipline-specific concurrent discussion groups) • Colored dots • Markers • Scissors • Colored paper • Glue • Flipchart paper • True Colors™ booklets (one for each participant) • <i>The Goose Story</i> video | | |
| Collect or purchase: <ul style="list-style-type: none"> • Disposable cameras for the experiential learning exercise (one per team, optional) • Local street maps for the experiential learning exercise • All-day bus/subway passes (one for each participant) | | |

FACULTY MEMBERS — IDENTIFICATION

| Tasks | Who | When |
|--|-----|------|
| Identify and invite all faculty members (workshop moderator, presenters, and team facilitators) | | |

WORKSHOP PARTICIPANTS AND FACULTY – LOGISTICS

| Tasks | Who | When |
|---|-----|------|
| Identify a workshop location (hotel) that will accommodate the participating teams | | |
| Create cover letter to site contacts to accompany the Team Member Sign-Up Form | | |
| Prepare the Team Member Sign-Up Form | | |
| Send (via fax and/or e-mail) the cover letter and Team Member Sign-Up Form to the site contacts | | |
| Develop and send personalized invitation letter to each registered participant after receipt of the sign-up forms | | |
| Confirm contact information provided on the Team Member Sign-Up Forms | | |
| Check in with participants regarding special needs (e.g., diet, accessibility issues, etc.) | | |
| Check in with travel agent about participants and out-of-town faculty members | | |
| Monitor flight reservations made by the participants and out-of-town faculty members | | |
| Make hotel reservations and revise/finalize rooming list | | |

FACULTY MEMBER PREPARATIONS

| Tasks | Who | When |
|--|-----|------|
| Develop and send consulting agreements to the faculty members to cover the time they spend preparing for and participating in the workshop | | |
| Convene conference call(s) with the faculty members to discuss their responsibilities and answer their questions | | |

DEVELOPMENT OF PARTICIPANT PACKET AND OTHER WORKSHOP MATERIALS

| Tasks | Who | When |
|--|-----|------|
| <p>Create or finalize, and stuff the following into the participant packets:</p> <ul style="list-style-type: none"> • Workshop goals and agenda (on colored paper) • Breakout room, team, and facilitator assignment list • Exercises (on colored paper) — to be stapled together, but experiential learning exercise is separate • PowerPoint® presentations (to be printed 3 slides per page, stapled, and inserted into the packets in chronological order) • Workshop evaluation form • Faculty and funder list • Participant list • Faculty biographies • Supplementary resource materials • Expense reimbursement form | | |
| Create team table tents | | |
| Create name tags | | |
| Create personalized name labels for the participant packets and hotel welcome letters | | |
| Develop a welcome letter (to be distributed to participants when they check into the hotel to welcome them to the event and remind them of its start time and location) and list of local restaurants (to be attached to the welcome letter) | | |
| Finalize, print, and prepare nametags, welcome letters, and the participant list | | |

EXPERIENTIAL LEARNING EXERCISE

| Tasks | Who | When |
|---|-----|------|
| Finalize exercise, including a review and update of the Location Guide | | |
| <p>Assemble and label one envelope per team that includes a camera (optional) and one of each of the following for each participant:</p> <ul style="list-style-type: none"> • Exercise instructions • Location Guide • Local bus/subway pass • Local street map | | |

CONCURRENT DISCUSSION GROUPS

| Tasks | Who | When |
|---|-----|------|
| Finalize exercise | | |
| Assign participants and facilitators to groups, and make a handout to reflect these assignments | | |
| Develop table tents for these discussion groups | | |

SPREADSHEET TO TALLY RESULTS OF THE COLLABORATION SURVEYS

| Tasks | Who | When |
|--|-----|------|
| Develop a spreadsheet that can be tallied and printed “on the spot” that includes: <ul style="list-style-type: none"> • Every survey question • The number of team members • Calculations for: the average score, lowest score, highest score, and range of scores each question receives • Space for written comments | | |

WORKSHOP MATERIALS AND SUPPLIES CHECK LIST

- | | |
|--|--|
| <input type="checkbox"/> Welcome letter | <input type="checkbox"/> Laptops |
| <input type="checkbox"/> Participant packets | <input type="checkbox"/> Printer |
| <input type="checkbox"/> Experiential learning exercise envelopes | <input type="checkbox"/> LCD Projector |
| <input type="checkbox"/> Materials for the resource table | <input type="checkbox"/> VCR |
| <input type="checkbox"/> Name tags – participants, faculty, and project funders | <input type="checkbox"/> Computer disks with Collaboration Survey spreadsheets |
| <input type="checkbox"/> Table tents (teams, faculty, resource table, concurrent discussion groups) | <input type="checkbox"/> Standard meeting supplies, including: printer paper, colored paper, scissors, markers, tape, glue, etc. |
| <input type="checkbox"/> True Colors™ booklets | <input type="checkbox"/> Colored sticky dots |
| <input type="checkbox"/> <i>The Goose Story</i> video | <input type="checkbox"/> List of local restaurants |
| <input type="checkbox"/> Computer disks with PowerPoint® presentations (presentations also loaded onto hard drive of the computer that will be used in the plenary room) | <input type="checkbox"/> Participant expense reimbursement forms |

HOTEL SET-UP CHECK LIST

- Welcome letter distribution

Plenary room set-up:

- Podium
- Podium microphone (1)
- Lavalier microphone (1)
- Screen for LCD Projector
- Flipchart/markers
- Round tables (one for each of the teams, and one for the faculty members and funders)
- Resource table
- Registration table

Food and beverage:

- Morning and afternoon breaks each day
- Box or buffet lunches

Breakout room set-up (one for each participating team):

- Conference style, with enough chairs for all members
- Flipchart
- Markers
- Tape
- Pens and paper
- Laptop (for facilitator)
- Computer disks with Collaboration Survey spreadsheets

General:

- Check on any “special needs” meals and other accommodations

LITERATURE RESOURCES

Chrislip, David D. and Carl E. Larson (1994). *Collaborative Leadership: How Citizens and Civic Leaders Can Make a Difference* (1st Edition). San Francisco: Jossey-Bass.

Huxham, Chris, ed. (1996). *Creating Collaborative Advantage*. London: Sage Publications.

Mattessich, Paul W. and Barbara R. Monsey (1992). *Collaboration—What Makes It Work: A Review of Research Literature on Factors Influencing Successful Collaboration*. St. Paul, MN: Amherst H. Wilder Foundation.

Chapter

2

Overview of the Curriculum

In chapter 1, we discussed the activities necessary to prepare for the workshop event. In this chapter, we present an overview of the workshop in its entirety, including the agenda, followed by the substantive content of the workshop. The substantive content is divided into nine workshop modules. These modules include instructions for the moderator and other faculty and specific content material. Chapter 3 provides a complete set of all workshop materials, such as a sample agenda, workshop exercises, and PowerPoint® slides. For illustration purposes, many of the workshop materials are contained within the specific modules as well.

GOALS OF THE WORKSHOP

The goals of this training are to:

- Promote a common understanding of the language and concepts of collaboration;
- Provide teams an opportunity to articulate their vision, mission, and goals, and the importance of collaboration to their work;
- Enable teams to understand their team and project lifecycles and assess their own place in these cycles;
- Educate teams about group dynamics and how to examine the dynamics of their own group;
- Instruct teams on how to create an action plan to strengthen their collaboration;
- Promote team building; and
- Provide an opportunity for teams to share common experiences with one another.

These goals will be accomplished through the delivery of the nine modules presented in this curriculum. The titles and purposes of each individual module are summarized below. These statements of purpose are also included in each module.

Module 1: Curriculum Overview

- To welcome the participants to the workshop.
- To introduce the faculty and the participants.
- To engage the participants and create a comfortable learning environment.
- To acquaint the participants with the workshop goals and agenda, and present collaboration as the primary focus of the program.

Module 2: Collaboration Definition and Concepts

- To define collaboration from both the theoretical and practical perspectives.
- To establish a common language on collaboration.
- To assess the state of each team's collaboration.

Module 3: Values, Vision, Problem Identification, and Mission

- To introduce the foundational elements of team building: values, vision, problem identification, and mission.
- To provide an opportunity for teams to discuss their values and principles and develop elevating vision statements.
- To assist teams in defining the problems that impede their efforts to achieve their vision, and creating specific missions that will guide the work of the team.

Module 4: Roles and Responsibilities of Team Members

- To help participants understand the importance of clear team roles and responsibilities and begin to apply that knowledge to their own teams.
- To instruct participants on the importance of learning more about their own personality styles and how they interact with others in the team setting.
- To provide an opportunity for team members to discuss with one another their expectations regarding their own and others' roles and responsibilities in the work of their own teams.

Module 5: Concurrent Group Discussion

- To provide time for participants to share with and learn from members of the other teams.
- To encourage participants to discuss common work interests and challenges.

Module 6: Collaboration in American History

- To apply the experiential learning model to collaboration.
- To define and elaborate on the role of collaboration in American history.
- To apply historical examples to the role collaboration plays in current public policy.
- To apply the workshop's key lessons to each team's current collaborative work.

Module 7: Group Dynamics

- To introduce a common vocabulary about group dynamics.
- To instruct teams on how to work with self-assessment tools to understand their own group dynamics.
- To encourage teams to examine the impact of their group dynamics on their collaborative efforts.

Module 8: Team and Project Lifecycles

- To define the concept of team and project lifecycles.
- To assist teams to identify their lifecycle stages, and the barriers, opportunities, and successes associated with these stages.

Module 9: Goals, Objectives, and Critical Work Activities

- To assist teams in examining their goals, objectives, and critical work activities to strengthen their collaborative work.
- To summarize the workshop activities and encourage teams to translate the workshop lessons into their own action plans.
- To close the workshop on a positive and inspirational note.

THE WORKSHOP MODULES

Each of the nine workshop modules addresses different aspects of collaboration and team building, and requires specific preparations. This chapter provides information on each module and includes key points, equipment necessary to conduct the module, and presentation content and teamwork session details. Each module includes some or all of the following elements:

- I. Module checklist
 - A. Module structure
 - 1. Module duration
 - 2. Module topics
 - B. Module instructions
 - 1. Equipment and materials
 - 2. Faculty roles
 - 3. Tips for a successful module
 - C. Module content
 - 1. Key points
 - 2. Teamwork exercise(s)
 - 3. Special plenary group exercise(s) (if any)

- II. Module explanation
 - A. Plenary presentation content details
 - B. Teamwork exercise details
 - C. Special plenary group exercise details (if any)

- III. Module resources
 - A. Literature resources

SAMPLE WORKSHOP AGENDA

Date
Meeting Location
City, State

All Plenary Sessions Will Be Held in the Ballroom

Day, Date

| | |
|------------|--|
| 9:00 a.m. | Plenary Session: Welcome <i>Opening Speaker's Name and Title</i> |
| 9:20 a.m. | Plenary Session: Introduction of the Teams, Presenters and Facilitators <i>Moderator's Name and Title</i> |
| 9:50 a.m. | Plenary Session: Review of the Workshop Goals and Agenda <i>Moderator's Name</i> |
| 10:05 a.m. | Plenary Session: An Overview of Why We Are Here This presentation provides an overview of what brings us together. <i>Moderator's Name</i> |
| 10:15 a.m. | Plenary Session: What Is Collaboration, and What Do We Know About It? This session will describe and define collaboration, discuss critical research on successful collaboration, and provide some practical tips for developing and maintaining effective collaborative teams. <i>Presenter's Name and Title</i> |
| 10:45 a.m. | Plenary Session: Introduction to Teamwork Exercise 1 <i>Moderator's Name</i> Following an introduction to the Collaboration Survey and its empirical basis, teams will take the Collaboration Survey. After a short break, teams will meet in their breakout rooms for Teamwork Session 1 to process the results of the survey. |

11:00 a.m. **Teamwork Exercise 1: What Is the Current State of Our Collaborative Efforts?**

12:00 p.m. **Working Lunch (continue with Teamwork Exercise 1)**

12:30 p.m. **Plenary Session: The Importance of Values and Vision to the Work of a Collaborative Team**

This session will address the importance of values and vision and how they inform and guide effective teamwork.

Presenter's Name and Title

1:00 p.m. **Teamwork Exercise 2: Examining Our Vision and Values**

2:00 p.m. **Break**

2:15 p.m. **Plenary Session: Identifying Problems and Developing Clear Missions**

This session will address the importance of the teams' identification of the specific problems they are working together to address, and the development of collaborative missions.

Presenter's Name and Title

2:35 p.m. **Teamwork Exercise 3: Identifying the Problems and Developing a Clear Mission**

3:45 p.m. **Plenary Session: True Colors™**

After a plenary introduction, participants will take the True Colors™ test (a team-building exercise) and process the results.

Presenter's Name and Title

5:00 p.m. **Plenary Session: Wrap Up and Adjourn for the Day**

Moderator's Name

Day, Date

8:30 a.m. **Plenary Session: Welcome and Review of the Day's Agenda**

Moderator's Name

| | |
|------------|--|
| 8:40 a.m. | <p>Plenary Session: Roles and Responsibilities of Team Members</p> <p>This session will address the need for teams to clarify the roles and responsibilities of each team member and the benefits of doing so.</p> <p><i>Presenter's Name and Title</i></p> |
| 9:10 a.m. | <p>Teamwork Exercise 4: What are Members' Roles and Responsibilities on Our Team?</p> |
| 10:15 a.m. | <p>Break</p> |
| 10:30 a.m. | <p>Teamwork Exercise 4: (continued)</p> |
| 12:00 p.m. | <p>Working Lunch (Concurrent Discussion Groups)</p> <p>Participants meet with their colleagues from other teams in the plenary session room for a facilitated discussion about common concerns. Participants are grouped by discipline to discuss the unique challenges collaboration poses as a result of their roles.</p> |
| 1:30 p.m. | <p>Plenary Session: Collaboration in American History</p> <p>This session will highlight the important role that collaboration has played throughout the history of the United States.</p> <p><i>Guest Speaker</i></p> |
| 2:00 p.m. | <p>Introduction to Teamwork Exercise 5: Experiential Learning Exercise</p> <p>The experiential learning model states that when persons have a concrete experience, they reflect on that experience, abstract from it, and then integrate (act on) their learnings. This exercise will apply the experiential learning model to the issue of collaboration.</p> <p><i>Moderator's Name</i></p> |
| 2:10 p.m. | <p>Teamwork Exercise 5: Experiential Learning Exercise</p> |
| 6:00 p.m. | <p>Adjourn</p> <p>It will take each team at least three hours to complete the experiential learning exercise and the actual end time may be later than 6:00 p.m., depending upon the decisions made by the team. Many teams choose to work through the dinner hour.</p> |

Day, Date

8:30 a.m.

Plenary Session: Welcome and Review of the Day's Agenda

Moderator's Name

8:40 a.m.

Plenary Session: Report Out from Teamwork Exercise 5: Experiential Learning Exercise

During this session, each team will have an opportunity to present the key lessons they learned during the Experiential Learning Exercise.

Moderator's Name

9:40 a.m.

Plenary Session: Group Dynamics

This session will address the stages of group development, positive and negative group behavior, and how to effectively manage group dynamics.

Presenter's Name and Title

10:10 a.m.

Break

10:20 a.m.

Teamwork Exercise 6: What Influences Do Our Group's Dynamics Have on Our Work as a Team?

11:50 a.m.

Break for Lunch (On Your Own)

1:00 p.m.

Plenary Session: Team and Project Lifecycles

This session explains the concept of team and project lifecycles.

Presenter's Name and Title

1:20 p.m.

Teamwork Exercise 7: Where Are We in Our Lifecycle?

2:30 p.m.

Break

2:40 p.m.

Plenary Session: Goals, Objectives, and Critical Work Activities

This session will set the stage for the final teamwork session in which teams will examine their goals, objectives, and critical work activities in order to identify specific next steps that will lead to stronger and more impactful collaborative teamwork.

Presenter's Name and Title

2:50 p.m.

Teamwork Exercise 8: Identifying the Goals, Objectives, and Critical Work Activities Necessary to Strengthen Our Collaboration

3:35 p.m.

Plenary Session: Final Report-Out

Teams will report out on three action steps identified during the final teamwork exercise that they will take to strengthen their collaboration, as well as on the most important lesson they learned about collaboration during the workshop.

3:50 p.m.

Plenary Session: Closing Comments and Presentation of Brief Video

Moderator's Name

4:00 p.m.

Adjourn

Module

1

Curriculum Overview

MODULE CHECKLIST

Please use the following checklist to ensure that your presentation of Module 1 is complete.

Module Structure

Module Duration

- 1 hour and 15 minutes.

Module Topics

- Welcome (20 minutes).
- Introduce the teams and faculty (30 minutes).
- Review workshop goals and agenda (15 minutes).
- Reiterate why everyone is at the workshop (10 minutes).

Module Instructions

Equipment and Materials

- A computer with an LCD projector and a projection screen.
- An overhead projector, if an LCD projector is not available.
- Packets of course materials for each participant and faculty member.

Faculty Roles

- The moderator or keynote speaker** (optional) welcomes the participants.
- The moderator** welcomes the participants, reviews the curriculum's goals and agenda, facilitates the icebreaker, introduces the faculty and participants, and maintains the agenda's time limits.
- Team facilitators** sit with their assigned teams.
- Support staff** monitor the plenary room and ensure that the equipment is set up and functioning properly.

Tips for a Successful Module

- Set up all equipment. (Even if you do not use it for this module, it will be needed for Module 2, which immediately follows this one.)
- Ensure that each participant has his or her packet of materials at the opening workshop session.
- Start on time.
- Set a tone that is upbeat and imparts all the information necessary to orient participants to the workshop's structure and organization.
- Establish faculty roles and make sure that all participants are introduced with their teams and as individuals.

Module Content

Key Points

- Welcome participants by using an icebreaker.
- Reiterate to participants why they are at the workshop.

- ❑ Review the workshop materials, including the goals and agenda.
- ❑ Introduce collaboration as the workshop's focus.

MODULE EXPLANATION

Module 1 represents the first hour and 15 minutes of the workshop agenda. Participants are introduced to the curriculum, to one another, and to the faculty, and are prepared for the work of the ensuing three days.

The purposes of Module 1 are to:

- Welcome the participants to the workshop;
- Introduce the faculty and the participants;
- Engage the participants and create a comfortable learning environment by conducting an icebreaker; and
- Acquaint the participants with the workshop goals and agenda, and present collaboration as the primary focus of the program.

PLENARY PRESENTATION CONTENT DETAILS

Welcome (Optional Keynote Speaker and Moderator; 20 minutes)

During the initial session, the moderator can open the workshop, but a keynote speaker may be the most appropriate person to welcome the participants. This individual should be someone with prestige in the criminal justice system (either nationally or locally) who is recognized as a true collaborator in his or her field and whose work is relevant to the participating teams.

The key points to make during the welcome are to:

- Express support for the work in which participants will be engaged during the workshop's three days;
- Stress the importance and value of the participants' work; and
- Introduce collaboration as the theme and primary focus of the workshop.

Introduce Teams and Faculty (Moderator; 30 minutes)

During the icebreaker session, teams and staff are introduced to one another and an upbeat and interactive tone is set. (A sample icebreaker is included in the Module Resources section below.) An icebreaker is a quick and easy way to make everyone feel at ease. An icebreaker session:

- Is conducted at all workshops, no matter the level of familiarity that exists between participating teams and faculty;
- Introduces each team member and each team as well as the faculty to everyone participating in the workshop. For smaller groups, each team member should introduce himself or herself

to the workshop participants. For larger groups, each team should select a spokesperson to introduce the other team members and explain the team’s mission, goals, or purpose. Teams should be limited to 3 minutes during this introduction;

- Is facilitated by the moderator; and
- Should establish common ground among the participants or allow participants to begin sharing a part of themselves with one another.

Review Workshop Goals and Agenda (Moderator; 15 minutes)

The moderator should review the meeting’s goals and agenda. This will be the participants’ first formal introduction to the workshop. Familiarize participants with their packet materials—specifically the workshop goals and agenda—and focus on the importance of maintaining the agenda’s time limits.

An Overview of Why We Are Here (Moderator; 10 minutes)

Clarify for the participants why their teams are present and generate excitement about their upcoming work. Emphasize that everyone is in the room because they want to learn more about how to collaborate effectively.

MODULE RESOURCES

Sample Icebreaker

“The Name Game”

For this icebreaker — which works particularly well with smaller groups — the moderator creates an activity around participants’ names. Ask each participant to introduce himself or herself, explain his or her role on the team, and tell an interesting fact about his or her name. This can be an anecdote about how the name was received, who the person is named after, or what the name means in a foreign language. Each person then repeats the names of all preceding participants before beginning his or her introduction.

Literature Resources

Carter, Madeline M. (2004). *The Emergence of Collaboration as the Preferred Approach in Criminal Justice*. Alexandria, VA: State Justice Institute.

Rees, Fran (1998). *The Facilitator Excellence Handbook: Helping People Work Creatively and Productively Together*. San Francisco: Jossey-Bass/Pfeiffer.

— — — . *Facilitator Excellence: Helping People Work Creatively and Productively Together: Skills Profile*. San Francisco: Jossey-Bass/Pfeiffer.

— — — . *Facilitator Excellence Instructor’s Guide*. San Francisco: Jossey-Bass/Pfeiffer.

Module

2

Collaboration Definition and Concepts

MODULE CHECKLIST

Please use the following checklist to ensure that your presentation of Module 2 is complete.

Module Structure

Module Duration

- 2 hours and 15 minutes.

Module Topics

- Plenary session: What Is Collaboration, and What Do We Know About It? (30 minutes).
- Introduction to Teamwork Exercise 1 (15 minutes).
- Teamwork Exercise 1: What Is the Current State of Our Collaborative Efforts? (1 hour, 30 minutes).

Module Instructions

Equipment and Materials

- A computer with an LCD projector and a projection screen.
- PowerPoint® slide presentation A.
- If an LCD projector is not available, transparencies of Presentation A and an overhead projector.
- Calculators or spreadsheets (loaded onto laptops) for facilitators to compute the results of the Collaboration Survey.

Faculty Roles

- The moderator** introduces the presenter and maintains the agenda time limits.
- The presenter** introduces the plenary topic and content and the teamwork exercise, using the script in this module.
- Team facilitators** instruct the teams on the mechanics of the teamwork exercise and facilitate the teamwork sessions.
- Support staff** monitors the plenary room, ensures equipment is set up and functioning properly, ensures breakout rooms are equipped with necessary materials, and that facilitators have the materials they need to compute survey results.

Tips for a Successful Module

- Provide examples of successful collaborations.
- Allow time for questions during the plenary presentation.
- Give clear, concise instructions to the facilitators and participants about Teamwork Exercise 1.
- Help teams understand the implications of the Collaboration Survey results for their work together during the teamwork session.

Module Content

Key Points

- ❑ Explain the importance of collaboration (especially in the criminal justice system).
- ❑ Introduce the major themes and issues concerning collaboration and how collaboration differs from networking, coordinating, and cooperating.
- ❑ Present research that has been done on collaboration, including traits or characteristics of highly successful collaborative teams.
- ❑ Describe techniques that enhance and improve collaboration.
- ❑ Illustrate the outcomes of improved collaboration.

Teamwork Exercise

- ❑ Assess the internal and external issues that affect each team's collaborative efforts.

MODULE EXPLANATION

Module 2 is a substantive presentation on collaboration and includes the workshop's first teamwork exercise. The materials presented in this module provide essential background for the curriculum and a practical framework through which to discuss collaboration. Participants are introduced to research on eight characteristics essential to effective teams and to a common language on collaboration.

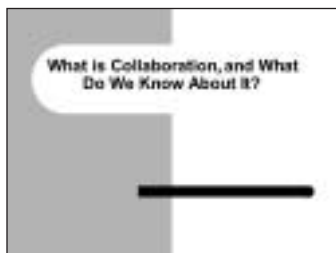
The purposes of Module 2 are to:

- Define collaboration from both the theoretical and practical perspectives;
- Establish a common language on collaboration; and
- Assess the state of each team's collaboration.

SAMPLE SCRIPT

What Is Collaboration, and What Do We Know About It? (Slide Presentation A)¹

The italicized text are instructions to the presenter.



Display Slide A-1

What is Collaboration, and What Do We Know About It?

We are going to start off today by talking about what we know about collaboration. The way I would like to talk about this is by sharing with you some research that has been done on what makes collaborative teams successful.

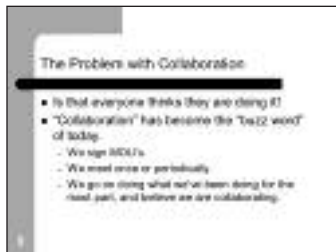
It is often difficult to talk about collaboration because the elements that go into collaborative activities can seem somewhat elusive or

difficult to define. If everyone's getting along, perhaps you think that it must be a good collaboration. Or the meetings are quick and efficient so it must be a good collaboration. We have certain ideas about collaboration but most of us are not able to talk about them in concrete terms. So this research is very useful in helping us to understand what makes a collaborative team successful and how we can build a stronger, more effective collaboration wherever we are starting from. It gives us the language to talk about what we do, and tools to help us do it.



Display Slide A-2

Carl Larson and Frank LaFasto [*TeamWork: What Must Go Right/What Can Go Wrong*, Newbury Park, CA: Sage Publications (1989)] set out to try to understand what makes teams effective. In conducting their research, they identified a variety of teams in a range of different environments — such as community action teams, project teams, sports-related teams such as mountain climbers, tactical teams, surgical teams, public health teams established to fight epidemics, and executive management teams. They went through three distinct sample groups — a broad and varied group, a narrower and deeper hypothesis testing group, and a broader and more unusual saturation group — in order to find the answer to the question: What do those teams that are highly successful have in common, if anything? From this investigation, they developed a paradigm which involves eight characteristics that must be present for a team to be successful. These eight characteristics of successful teams are what we will be talking about this morning, and throughout this workshop.



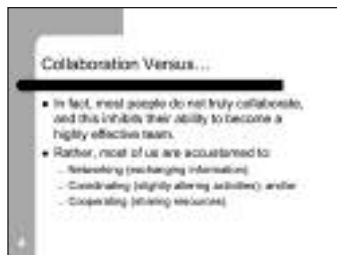
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Before we go further into the research, I want to talk a little bit about the problem with collaboration.

The first problem with collaboration is that everyone thinks they are doing it! Collaboration has become so popular that, for example, it is required by nearly every Federal grant program. People then sign MOU's, because they have to, and they meet once to work out the grant application, or maybe on a periodic basis, but basically they keep on doing business essentially the way business has always been done. Meeting periodically, or calling each other when the progress reports are due to exchange statistics is not collaboration. It is perhaps better than what we did before, which often meant not even talking to each other, but it is not collaboration.

It is really only in the past several years that collaboration has become a “buzz word.” On the one hand, the fact that collaboration has been recognized as an essential tool in addressing many of the

challenges we face in our work as criminal justice professionals is a very good thing. The complexity of our work requires that we work together on a range of issues and at a range of professional levels — from policy makers to front line staff. On the other hand, though, the fact that we call so many kinds of working together “collaboration” undervalues and underestimates the work involved in a genuine collaboration.



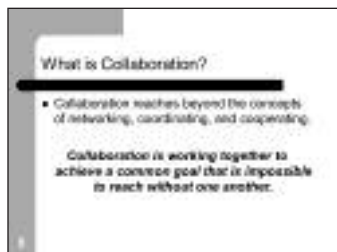
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What appears to be happening in the field is that people are networking — they are getting together to exchange information, to learn about activities in other agencies.

People are coordinating — they are making slight alterations in their activities to accommodate the needs of another agency (for example, one agency might change their hours so that they have staff available to receive referrals from another agency).

And sometimes people are cooperating. That would be when they are sharing resources — maybe one agency provides office space and another provides staff so that services can be co-located.

All of those things are good, all of those things are important. But they are not the same as collaboration.



Display Slide A-5

So what is collaboration? Collaboration is a practice that makes something POSSIBLE. Collaboration enables you to do something that can only be done when people are working together. That is, collaboration allows you to accomplish something that is IMPOSSIBLE to achieve without each member of the team working toward the same end. It requires the partnership and the commitment of all members working toward a common goal to succeed.

I want to ask you about some of your experiences being on a collaborative team.

Have any of you been on a team that did not work very well? What were the issues?

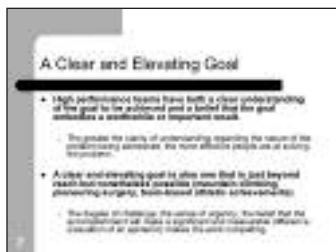
(Solicit answers from the audience. The following are some likely responses: poor communication, turf issues, lack of leadership or ineffective leadership, infighting, lack of follow through by team members, self-protection, lack of skillful facilitation of meetings, individuals not carrying their weight.)

What you'll find is that if you turn these on their head, that is, if these are the things that made collaboration ineffective, then the converse is true: the converse is what makes collaborative teams succeed, as Larson and LaFasto have demonstrated in their research.



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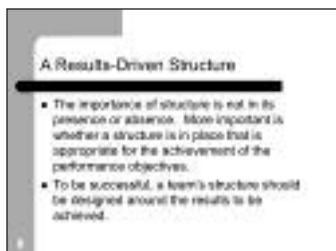
These are Larson and LaFasto's Eight Characteristics of Successful Teams. We will talk about each one in turn.



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The first characteristic of a high performing team is that they have a clear and elevating goal. In order for a team to be effective, they have to have a clear and elevating goal. This is their purpose, their reason for being, something they are striving for. For purposes of this workshop, we will refer to the “clear and elevating goal” as a “vision.” It is something important, something worthwhile, something that everyone understands and agrees upon, and interestingly enough, something that is just beyond reach — because if we are working for something too close, it is often not motivating enough or inspiring enough to get us to do the work.

A clear and elevating goal is the first characteristic of a successful collaborative team. The goal provides the motivation and the inspiration. The result makes a difference; we feel disappointment if we are not heading in that direction.



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The second characteristic of high performing teams is a results-driven structure. This characteristic addresses the need to establish a structure that will enable the team to meet its goals.

A lot of people will ask, what should a collaborative team look like — do we need to have a chair? Co-chairs? A facilitator? Sub-committees? What's the right number of people to have on the team? Is it eight people? Twelve people?

The answer is that it depends entirely on what the team is trying to achieve. It is important to have a structure — it is not effective to be disorganized — but the structure needs to be designed around the results that the team is trying to achieve.

And team structure needs to be discussed. Some of the structuring of teams typically happens by default. One industrious team member agrees to keep minutes or create an agenda. Someone else — the person who calls the meeting — will serve as the leader and/or facilitator. But rarely does a formal conversation occur about what the structure of the team SHOULD be in order to achieve the team’s goal. And this is a conversation that every team needs to have.



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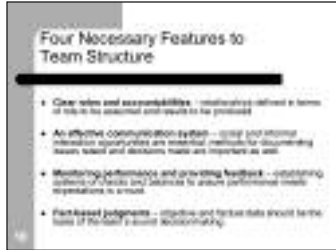
There are several different kinds of teams or team structures. Teams come together with different mandates, or different reasons for being. Larson and LaFasto found three basic purposes for which teams came together.

Some teams come together as problem resolution teams. These are teams that are established to resolve problems on an ongoing basis. An example would be epidemiology teams that respond when disease breaks out. Their most essential feature is trust. If there is no trust, there will not be honesty, and honesty is necessary if you are going to fully understand the roots of the problems you need to solve. Members must believe in the integrity of their colleagues and feel secure in an atmosphere of collegiality and respect. If there is concern about blame and finger pointing, effective problem solving is not possible.

Other teams come together as creative teams. Their goal is to create something, to innovate. An example would be a product development team, like McDonald’s Chicken McNugget Team. Their necessary feature is autonomy from systems and procedures — not something that is easy to come by in criminal justice system work, but necessary for creativity to flourish. They have to have the latitude to work beyond our typical boundaries and barriers to innovate and create new systems and think about new ways of doing our work.

And a third type are tactical teams. Their job is to execute a well-defined plan. Their essential feature is clarity around what they are supposed to do, and a clear sense of each individual’s role in carrying out the plan.

Many communities/jurisdictions/agencies will have several different types of teams in place, or sometimes there will be a team for each different grant program or funding stream. It is very important that each team understand both its own function, and how it fits into the larger picture of local criminal justice policy. How do all of the different teams relate to one another?



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While there is no single structure that is appropriate for all teams, there are elements or features of team structure that need to be in place for a structure to be effective. Let's discuss the four necessary features to team structure as defined by Larson and LaFasto.

One is clear roles and responsibilities or accountabilities — each member needs to be clear about his or her function on the team — and we will talk later about formal and informal roles — and what tasks or activities they are responsible for or can expect to be held accountable for.

Is there anyone here who is not entirely clear what they are doing on their team, why they have been asked to be a part of it? I would not be surprised if there were several of you. Sometimes when we are putting together a collaborative team, we invite certain people and it is inherently clear to us why we've invited them, what we expect them to bring to the table. But we forget to make it clear to them or to others on the team.

Individuals who are not clear about their relationship to the team and the team's clear and elevating goal may not feel as much of a commitment to the team and may not carry as much responsibility as others expect them to. They may not be clear that they are expected to do any more than attend meetings and offer their thoughts and ideas. So it is very important to be clear about team member roles and responsibilities.

Secondly, we need to have effective communication systems. And here we are not talking about faxes, e-mail lists, and meeting minutes. We need to have opportunities and an environment where we can talk honestly and communicate openly with one another about issues that are important. If we are going to truly participate in the collaboration, we have to be able to be candid and open. Without that, we never really achieve a true collaborative relationship.

Thirdly, we need to have mechanisms in place to monitor our performance and provide feedback. We need to ensure that we are on track, that we are performing, that we are meeting our interim goals and making progress toward our longer term goals, and that everyone is participating.

Finally, the research indicates that a necessary feature of team structure is fact-based decision making. We need to establish means by which we gather or develop the information necessary to inform our judgments. We need to come to the table agreeing that we will make decisions based on the best information available and there

should be agreement that we should not be making decisions based on personal agendas, or how we think and feel.

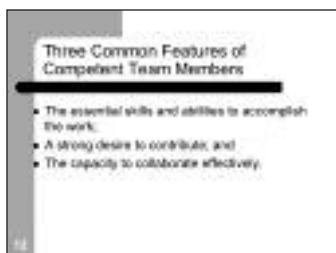


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The next characteristic of high performing teams is competent team members. Now competent does not mean general social or intellectual competence. It means that team members are those who are best able to achieve the team's objectives.

There are essentially two types of competency involved in collaboration. Technical competency is defined here as having the skills and abilities necessary to fulfill the needs of the team. So an important question to consider as you put together a team or evaluate an existing team is: do we have people with all of the technical skills that are required for this task? If not, what are we missing?

The other component of competency is personal competency. We all know people who are excellent at what they do, but are happiest when they are working independently and don't have to work closely with others or in groups. This is not a judgmental statement; rather, it is simply a fact that people have preferred working styles. They may be technically very competent, but lack the desire or the people skills necessary to work effectively in a collaborative environment. Personally competent team members are those who are both capable of interacting well with others, and willing to do so.



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To summarize, then, three common features of competent team members are: they have the essential skills and abilities to accomplish the work; a strong desire to contribute — ideally because they believe in the team's vision; and the capacity to collaborate effectively.

The research tells us that when these factors come together, we see the group's confidence begin to rise, and this confidence gives the team the ability to meet challenges and adjust to adversity. Essentially, the competence of the individual team members becomes the competence of the collaborative team as a whole. The team develops greater confidence in its ability to achieve its elevating goal.

In addition, we develop a greater ability to be self-correcting — we are more effective at monitoring ourselves and our work together, and we can bring ourselves and each other back to focus when necessary.



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The next characteristic of high performing teams is unified commitment. The researchers observed that this is the most elusive characteristic to describe. It is described as something you need to experience to truly understand. But there are a variety of ways that we might begin to name or describe the experience of unified commitment.

We might describe the unified commitment as team spirit, a sense of belonging.

We might describe feeling a sense of loyalty and dedication to the team.

When there is a unified commitment, team members might experience an unrestrained sense of excitement and enthusiasm about the team — team members look forward to the activity, they look forward to being with the people they are working with.

A unified commitment might manifest itself as members’ willingness to do whatever needs to be done to help the team succeed — the team’s success is the overriding principle and members stop saying “it’s not my job,” or “it was my turn last week” when work needs to be accomplished.

We might describe unified commitment as an intense identification among the people on the team — a sense of “all for one and one for all”; a sense of being joined in a shared mission.

With a unified commitment, members may experience a loss of self. They may lose the emphasis on personal performance; the team’s outcome is what becomes important. You might hear a member of a sports team speak in this way. It does not matter how individual players perform, but how well the team works together and whether they performed well together. It is not about the individual, it is about the group.

A unified commitment might be described as a sense of being part of something special. It can be an emotional experience, a sense of connectedness, a strong sense of sharing something important with other people.

There are many different ways to describe this feature, but it is highly experiential. It involves both unity and commitment, intangible but essential elements of successful teams.



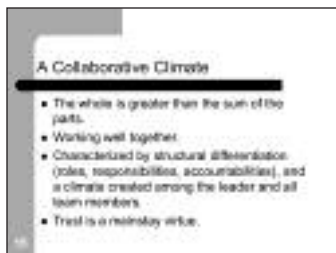
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It is challenging to set about deliberately creating a unified commitment. But one thing we know is that involvement is key — there is a direct positive relationship between involvement and commitment. The more involved we are, the more committed we are likely to feel.

And the inverse — the more we allow team members to be uninvolved, to be passive observers of the activities of the team, the less committed they will be. Think about the things that you are most invested and committed to — they are probably the things that you are most involved in.

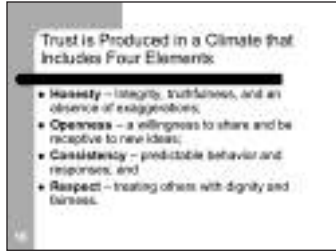
So when you are thinking about trying to generate a unified commitment, think about whether everyone on the team has the opportunity to participate in the effort at the same level? Has everyone had an opportunity to share their own values and ideas in the development of the team’s vision? Have all team members been involved in the establishment of the team’s structure? Does everyone have a task, a way to be meaningfully involved?

Remember too, that team members who are not fully committed to the team’s goals may come to the table more committed to their own personal goals. If these goals are not compatible, this can be very disruptive to the team’s performance, and can undermine other members’ confidence and commitment to the team’s work.



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The next characteristic I want to talk about is a collaborative climate. A collaborative climate is helped by people working well together, having a structure that is clear and well-defined. But the main focus here is on trust — team members trusting each other. Do we trust that we are all working toward the same end? Do we trust that each member is equally invested? Do we trust that if things start to go wrong that everyone is going to stand together to try to turn things around? Or do we fear that someone is going to stand on the sidelines and point fingers? Do we trust that each member is contributing equally or do we fear that we are going to put forth and others will not? Trust is a central, foundational aspect of effective collaboration.



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So how do we enhance trust?

Firstly, by being honest with each other. We forgo exaggerations; we demonstrate our integrity; we don't attempt to cover up mistakes or ignore any "elephants in the room."

Secondly, we are open — we are willing to share and are willing to receive.

Thirdly, we are consistent. This does not mean that we don't change our minds, but that we behave in ways that are predictable, responsible, and reliable.

Finally, that we demonstrate respect. We treat our teammates with dignity and fairness in both our spoken language and body language.

One of the ways that teams can begin to engender this kind of trust among team members is to generate ground rules for your work together — we will be talking about this in our teamwork sessions. Ground rules provide a framework for your interactions and help you create the kind of environment that you want to work in.



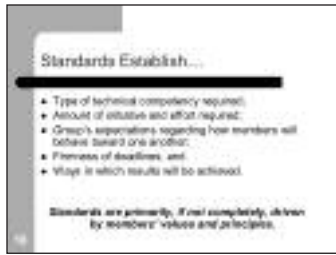
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Another way to engender trust is to focus on accountability, or standards of excellence. Standards of excellence are the next characteristic of high performing teams. We create standards — or, like deadlines, they can be created for us — and then each person is accountable to each other person on the team to act or perform in accordance with the standards.

Often what we see happen with teams is that things go wrong, and everyone knows that there is trouble, but no one is willing to confront the problems. If you talk to people on a team individually, you will often hear them articulate a wide range of problems — individuals who don't show up consistently, someone who constantly holds side conversations and does not seem to pay attention, or a leader who does not run meetings effectively. The problem is they don't know how, or are not willing, or don't have a mechanism to confront the issue with the team as a whole.

We need to have a work environment where we can articulate our standards and can hold one another accountable to them — not in a blaming way but in a helpful, productive way that helps the team move forward. Standards can help us with that — like ground rules,

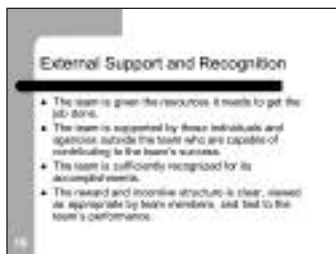
they give us a framework for our process of working together as well as our desired outcomes.



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Standards exist for individual as well as team performance. And it is important to examine our standards and make them clear — just like roles and responsibilities. Maybe someone on the team has gotten the idea that there is no standard for the form or accuracy of the meeting minutes. So they volunteer to do the notes, and feel that as a volunteer, they should be able to do a quick job and the team should be appreciative. Well, maybe these notes are part of an official record and they need to be in a certain format, spell-checked, and approved by the whole team. Shouldn't everyone be made aware of that? And what if no one says anything? Will that person's performance influence the performance of others who volunteer at subsequent meetings? Or will everyone quietly resent the individual for not performing?

When you establish standards you set the tone for what is acceptable and what is unacceptable in a variety of arenas — technical, interpersonal, and professional. Ultimately, these will impact your results. Having standards that are consistent with the values and principles of team members, whether those are set by the team leader, by the agency sponsoring the team, by the high or low profile of the team's purpose, or by the individuals who make up the team, is important to building team unity and building team confidence, which ultimately contribute to team success.



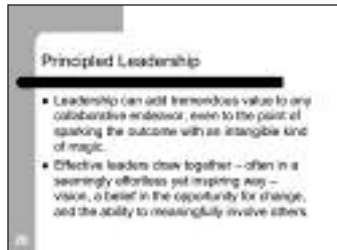
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The seventh characteristic of effective teams is external support and recognition. Teams need to be given sufficient resources to get the job done; they need support from the individuals and agencies outside the team who are significant to the teams' success.

But what is interesting is that external support and recognition seem to be an effect of team success rather than a cause. It seems to come after a team has achieved some success. In other words, teams need to be recognized for their accomplishments — but first they need to accomplish something!

This characteristic is often noted by teams more because of its absence than its presence, and more by teams that are not doing well than by teams that are. So it is not a major barrier but rather something that enhances effective performance.

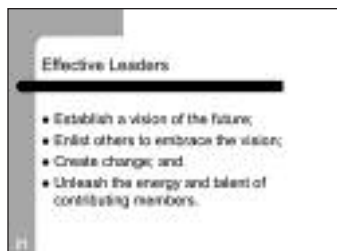
I would add that one way to help teams achieve recognition by others is to recognize and celebrate their own successes along the way. Teams can lose momentum when they don't see success, and making sure that your accomplishments are visible is an important piece to structure into your work.



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Finally, the last characteristic of high performing teams is principled leadership. It is very important to have someone on your team serving in a leadership role, at least initially. Ultimately, all members become leaders and self-manage or self-regulate. In fact, it is a quality of leadership that the spawning of leaders and sharing of leadership is promoted and encouraged. But initially, it is critical that teams have a leader, a champion.

The most effective leaders are those who are inspiring, who have vision and an ability to communicate that vision to others; they make others want to be part of the effort. We all know people like this – you want to be a part of anything that they are doing because they imbue everything they do with a spark, a spirit, a confidence in its importance and success. Every team needs a leader, especially at the beginning.



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Effective leaders provide their team members, and the broader audience for their teams' work, with a vision of the future. They use the vision to draw people in and they encourage people to embrace it as their own.

Leaders create change – they don't wait passively for change to happen; and they are effective at unearthing the energy and talents of the team and channeling them into the teams' goals.

Team leaders also provide a model for the team. Team leaders should be willing to set and uphold the standards of excellence that the team is going to follow. When the standards are set high, amazing things can happen.



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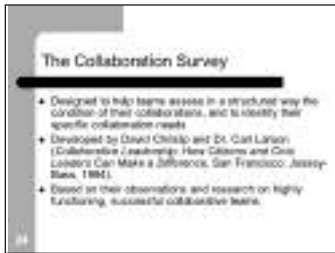
Now, the goal of this workshop is to help you become a more effective collaborative team. We will spend time helping you establish your clear and elevating goal, or in our terms, your vision. We will work with you around your structure, your leadership. We will take you through activities to help build trust among team members, such as establishing ground rules and articulating roles and responsibilities. We will work with you around understanding the dynamics of your group.

If your goal is my goal, that is, to help you become the most effective team you can be, I would suggest you start with a commitment to yourself to be as candid as you can be with your team about how well you are working together, and what you can do to improve your work. Consider this time — and the activity that follows — as an opportunity to identify and understand both your strengths as a team and your limitations. Such an analysis will surely lead to the strengthening of your team.



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I am going to spend the next few minutes introducing a tool that will help you evaluate the state or condition of your team's collaboration. It is called *Working Together: A Profile of Collaboration*. We will refer to it as the Collaboration Survey.

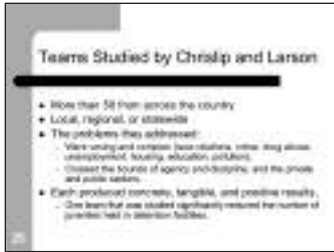


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This survey is designed to assist multi-disciplinary teams to assess in a structured and deliberate way the condition of their collaboration. It provides teams with a clear understanding of their collaboration's strengths and the areas that are in need of attention and improvement.

The tool was developed by two social scientists and researchers: David Chrislip and Dr. Carl Larson, and published in 1994 in their book, *Collaborative Leadership: How Citizens and Civic Leaders Can Make a Difference*. Both Chrislip and Larson have many years of experience and have conducted extensive research on collaboration, team building, teamwork, and leadership. They are widely published in these areas as well. Mr. Chrislip is on the faculty at the University of Denver and the University of Colorado at Denver where he teaches graduate courses on leadership and ethics. Dr. Larson, who is co-author of *TeamWork: What Must Go Right, What Can Go Wrong* (1989; the book describing the eight characteristics of effective teams) is professor of human communication studies and past dean of social sciences at the University of Denver.

Chrislip and Larson's Collaboration Survey is based on their observations and empirical research on many highly functioning, successful collaborative teams. Let's spend a few minutes describing these teams.

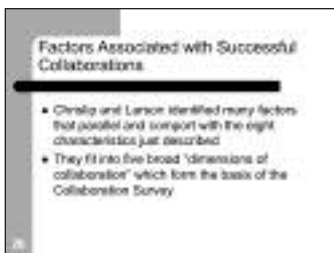


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Chrislip and Larson looked at more than 50 multi-disciplinary, collaborative teams from jurisdictions across the country including teams that were local, regional, and statewide in their scope or focus.

The common characteristic of all these teams was that they were focused on problems that were vexing and very complex, such as race relations, crime, drug abuse, unemployment, housing, education, and pollution. These are problems that cross the bounds of agency and discipline, as well as public and private sectors and, therefore, had not been addressed effectively by any individual entity. Each problem required a new, collaborative approach that included all of the entities that were impacted by and/or shared responsibility for addressing it.

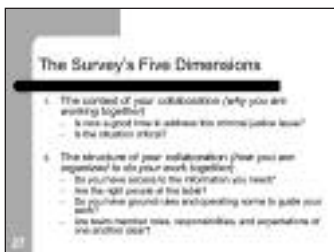
The teams studied by Chrislip and Larson produced concrete, tangible, and very positive results. These teams were action-oriented. Each accomplished something significant. For example, one team substantially reduced the number of juveniles held in their jurisdiction's overcrowded detention facilities.



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What were the common factors across these teams that were associated with success? Chrislip and Larson identified a number of factors that parallel and comport with the eight characteristics just described.

These factors fit into five broad "dimensions of collaboration," which form the basis of the Collaboration Survey. I am going to review each dimension right now, so that you understand them before you complete the survey.

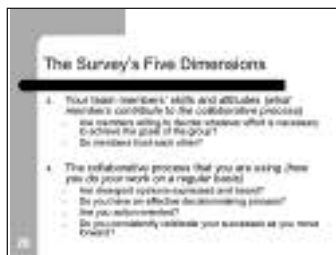


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The first is the context of your collaboration. This dimension focuses on why you are working together as a team. Do you believe that now is an appropriate time to address the criminal justice issue on which your team is focused? Is the situation critical? Do you feel it is necessary to act right now? This dimension comports with the need for vision, goals and commitment — how powerfully are you compelled by them to act? It also comports with the need for principled leadership, so crucial at the beginning of the team's work, and throughout.

The second dimension is the structure of your collaboration or how you are organized to conduct your work together. In this section of the survey, you will consider whether or not you have access to the

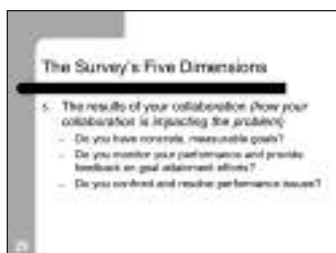
information you need to do your work as a team. You will also think about whether or not you have the right people at the table. Are the agencies and disciplines that are responsible for and impacted by the issue you are focused on represented on your team? Are the entities that have the potential to block your progress represented on your team? They are important to have as allies. What about ground rules and operating norms? Have you established them? Are team member roles, responsibilities, and expectations of one another clear? This dimension comports with having competent team members and a results-driven structure. It also touches on the need for standards and a unified commitment.



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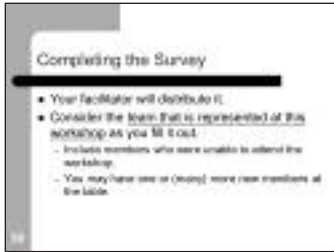
The third focuses on team member skills and attitudes, or what members contribute on a regular basis to your collaborative process. Are you willing to devote whatever effort is necessary to achieve the goals of the team? Are your team members willing to do so? We all know that trust is a key ingredient of successful collaborations. Do you and your team members trust one another? This dimension includes team member competence and commitment as well as the climate of your collaboration.

The fourth dimension deals with the collaborative process that you are using, or how you do your work together as a team on a regular basis. Do you believe that divergent opinions are consistently expressed and heard? Do you think that you have an effective decisionmaking process? Do you know how your team makes its decisions? Do you consider your team to be action oriented? Do you feel like you are effective as a team at getting things done? And do you consistently celebrate your successes as you move forward? The issues and problems that you are addressing are enormously challenging and cannot be solved in the short term. Do you recognize the significant progress you are making? This dimension comports with your structure, your standards, and your ability to attract external recognition and support. It also includes leadership issues and vision.



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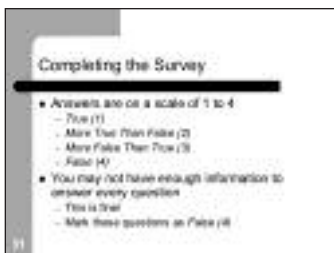
And finally, the fifth dimension addresses the results of your collaboration. In other words, how is your collaboration impacting the problem or issue at hand? Do you have concrete, measurable goals? If so, do you know what they are? Do you monitor your efforts to achieve your goals and make adjustments in the way that you do your work so that you are more effective? Do you confront and resolve performance issues related specifically to the work of your team? This dimension comports with the need for standards of excellence, clear goals, and a results-driven structure.



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Are there any questions about these five dimensions? Again, they are covered in depth in the Collaboration Survey that your facilitator will distribute to you now.

As you complete the survey, we would like you to consider the team that is represented at this workshop. I repeat...please keep the team that is represented at the workshop in mind as you fill out the survey. This refers to the expanded team, including those who were unable to attend the workshop. If this workshop is your first meeting together as a team, you obviously have less experience to draw on, but we ask that you use the team represented here nonetheless.



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You will answer each of the survey's 40 questions using a scale of 1 to 4. Answer 1 if you think that the question or statement is true; 2 if it is more true than false; 3 if it is more false than true; and 4 if it is false.

The survey is very detailed and thorough. It covers an enormous amount of information. As such, you may not have enough information to answer every question. That is fine. Please don't worry if this is the case. Just assign the questions you cannot answer a 4 for false.



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When you are finished with them, please pass your surveys back to your facilitator so that he or she can quickly aggregate the responses.

Your facilitator may ask for a volunteer from your team to assist in the aggregation process. Please give your facilitator a hand if they call upon you.

You may then pick up your lunch and proceed to your team's meeting room. There, you will process the results of the survey which will provide you with a snapshot of the current state of your collaborative team. During your teamwork session, you will discuss your team's strengths as well as any gaps or needs as revealed by the survey.



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As one final point on the Collaboration Survey, we would ask you to consider taking the survey as a team every six months or so to assess your ongoing efforts to improve your collaboration. Many teams have found the survey to be a very helpful tool to monitor their collaborative efforts over time.

TEAMWORK EXERCISE DETAILS

Introduction to Teamwork Exercise 1

Teamwork Exercise 1 allows teams to assess some of the internal and external issues that will have an impact on their collaborative efforts.

Following the plenary session, the moderator briefly summarizes key points, introduces the teamwork exercise, has the teams complete their collaboration surveys, and instructs participants to meet their facilitators in their breakout rooms after they take a short break.

Teamwork Exercise Instructions for Facilitators

The following are instructions for team facilitators on how to conduct Teamwork Exercise 1.

Exercise Purpose

This exercise provides participants with a “snapshot” of the current state of their team on several dimensions of collaboration that were discussed during the plenary session. While participants are taking their break (about 5 minutes) after the plenary session, the facilitator tallies the survey scores.

The facilitator posts the cumulative survey results on a flipchart—the individual results, however, are confidential. The facilitator lists the survey statements with the average and range of the individual responses next to each one.

Exercise Goals

The facilitator ensures that the team understands the exercise goals, which are to:

- Discuss and better understand the characteristics of a high-performing team;
- Assess the current state of the teamwork in the group; and
- Begin to work on areas that will improve the functioning of the team.

Exercise Preparation

Prior to the workshop, the facilitator should prepare and have ready the Collaboration Survey Worksheet, which will aid in tallying the team’s scores. Facilitators may also find it useful to create preprinted flipcharts for posting the cumulative results (see pp. 72-74).

Exercise Instructions

The facilitator ensures that one member of the team is assigned to keep accurate notes of the team work sessions for future use.

The facilitator instructs the team members to:

- Discuss the two items with the highest (low numbers) scores. Think of specific events or accomplishments that demonstrate these high scores;
- Discuss which items had the lowest (high numbers) scores. Consider if any specific events caused lower scores for these items; and
- Determine actions that might help improve the scores of at least one of the lowest scoring items on the list.

Exercise Assignment

The facilitator encourages the group to select someone to be responsible for ensuring that the team:

- Continues to discuss the highest priority items and develops an action plan to address each; and
- Completes this entire exercise at 6-month intervals. (This step is designed to continue to improve the group's collaboration and teamwork during the life of the project.)

WORKING TOGETHER: A PROFILE OF COLLABORATION

The Context of the Collaboration

Average Score *Range*

| | | |
|---|--|--|
| 1. Good time to address the issue. | | |
| 2. Collaborative effort started because wanted to do something. | | |
| 3. The situation is critical. | | |

The Structure of the Collaboration

Average Score *Range*

| | | |
|--|--|--|
| 4. Collaboration has access to credible information. | | |
| 5. Expertise necessary for effective meetings. | | |
| 6. Adequate physical facilities for the group and its subcommittees. | | |
| 7. Adequate staff assistance. | | |
| 8. Includes stakeholders affected by the issue. | | |
| 9. Not dominated by any one group or sector. | | |
| 10. Agreed to work together on this issue. | | |
| 11. Agreed on what decisions made by group. | | |
| 12. Group set ground rules and norms. | | |
| 13. Method for communicating to all members. | | |
| 14. Organized in working subgroups. | | |
| 15. Clearly defined roles for group members. | | |

Collaboration Members

Average Score *Range*

| | | |
|---|--|--|
| 16. More interested in good group decision. | | |
| 17. Willing to let go of idea for one with more merit. | | |
| 18. Communication skills for the group to progress. | | |
| 19. Balance task and social needs. | | |
| 20. Effective liaisons between organizations and group. | | |
| 21. Devote effort necessary to achieve goals. | | |
| 22. Monitor effectiveness of the process. | | |
| 23. Trust one another. | | |

The Collaboration Process*Average Score**Range*

| | | |
|---|--|--|
| 24. Discuss how we are working together. | | |
| 25. Divergent opinions expressed and listened to. | | |
| 26. Process is likely to have a real impact. | | |
| 27. Effective decisionmaking process. | | |
| 28. Members set aside doubts or skepticism. | | |
| 29. Strong, recognized leaders. | | |
| 30. Those in power or authority willing to agree with decisions or recommendations. | | |
| 31. Set aside vested interests to achieve common goal. | | |
| 32. Strong concern for preserving credible, open process. | | |
| 33. Inspired to be action oriented. | | |
| 34. Celebrate group's successes. | | |

The Results of the Collaboration*Average Score**Range*

| | | |
|---|--|--|
| 35. Concrete measurable goals. | | |
| 36. Identified interim goals. | | |
| 37. Established method for monitoring performance. | | |
| 38. Effective in obtaining resources. | | |
| 39. Willing to confront and resolve performance issues. | | |
| 40. Time and effort is directed at obtaining the goals. | | |

TEAMWORK EXERCISE 1

WHAT IS THE CURRENT STATE OF OUR COLLABORATIVE EFFORTS?

Day, Date

11:00 a.m. — 12:30 p.m.

Purpose

The work a team does together often determines its success. This session is designed to give you a “snapshot” of the current state of your team on several dimensions of collaboration.

Goals

The goals of this session are to:

- Discuss and better understand the characteristics of a high-performing team;
- Assess the current state of the teamwork in your group; and
- Begin to work on areas that will improve the functioning of your team.

Instructions

1. Complete the Collaboration Survey in the plenary session. Please answer the questions on the Collaboration Survey based on your own personal experience with this team (i.e., the expanded team, including those who did not come to this meeting). This is not a group exercise. Questions are to be answered individually. Please do not put your name on the survey.
2. After the short break, meet with your team and team facilitator in your breakout room.
3. Assign one member of the team to keep accurate notes of the teamwork sessions for future use and to serve as your workplan recorder throughout the workshop.

Discussion Questions

1. Discuss the two items that scored the highest (low numbers) on the Collaboration Survey and why you believe this is so. Think of specific events or accomplishments that demonstrate these high scores.
2. Discuss which items scored the lowest (high numbers) and why. Consider if any specific events caused lower scores for these items.
3. Select at least one of the lowest scoring items on the list and propose actions that might help improve the scores.

4. An important support to any team's work together is the establishment of ground rules. Your facilitator will spend a few minutes with you at the end of this exercise to assist you in developing a list of ground rules your team can begin to use during your meetings while you are here and when you return home.

Assignment

1. Your team should select someone to be responsible for ensuring that the team:
 - a. Continues to discuss the highest priority (highest) scores and develops an action plan to address each; and
 - b. Completes this exercise at 6-month intervals. (This step is designed to continue to improve your group's collaboration and teamwork during the life of the project.)
2. Please note these items on your workplan.

WORKING TOGETHER: A PROFILE OF COLLABORATION

THE INSTRUMENT

The research underlying this instrument has been published in:

Collaborative Leadership: How Citizens and Civic Leaders Can Make a Difference, 1st ed., by David D. Chrislip and Carl E. Larson, San Francisco: Jossey-Bass, 1994.

OMNI Institute has been using the instrument since 1992 in the evaluation and support of collaborative groups. For more information, please contact them at:

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E-mail: kkapeller@omni.org

WORKING TOGETHER: A PROFILE OF COLLABORATION

The purpose of this booklet is to record your opinions about items that measure collaboration effectiveness. Your honest responses to these items will be extremely helpful. Your responses will be statistically summarized and displayed, along with the responses of others, without identifying you individually.

Collaboration Identification:

You are a member of a group. The group may be called a partnership, consortium, or coalition. The group exists to deal with one or more concerns, issues, or goals. The name of the group is below. You will be asked to report the extent to which certain items are true or not true of your group. As you respond to each of the items in this booklet, please keep in mind the group you are describing.

NAME OF THE GROUP: _____

Instructions:

Items are grouped into five categories. To the left of each item is a scale for recording your responses. Read the item, think about the extent to which it describes your group, and fill in the appropriate circle.

| True | More True Than False | More False Than True | False | |
|---|-----------------------|-----------------------|-----------------------|--|
| The Context of the Collaboration | | | | |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 1. Now is a good time to address the issue about which we are collaborating. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 2. Our collaborative effort was started because certain individuals wanted to do something about this issue. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 3. The situation is so critical, we must act now. |
| True | More True Than False | More False Than True | False | |
| The Structure of the Collaboration | | | | |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 4. Our collaboration has access to credible information that supports problem solving and decisionmaking. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 5. Our group has access to the expertise necessary for effective meetings. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 6. We have adequate physical facilities to support the collaborative efforts of the group and its subcommittees. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 7. We have adequate staff assistance to plan and administer the collaborative effort. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 8. The membership of our group includes those stakeholders affected by the issue. |

| | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|--|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 9. Our membership is not dominated by any one group or sector. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 10. Stakeholders have agreed to work together on this issue. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 11. Stakeholders have agreed on what decisions will be made by the group. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 12. Our group has set ground rules and norms about how we will work together. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 13. We have a method for communicating the activities and decisions of the group to all members. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 14. Our collaboration is organized in working subgroups when necessary to attend to key performance areas. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 15. There are clearly defined roles for group members. |
| True | More True Than False | More False Than True | False | |

Collaboration Members

| | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|--|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 16. Members are more interested in getting a good group decision than improving the position of their home organization. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 17. Members are willing to let go of an idea for one that appears to have more merit. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 18. Members have the communication skills necessary to help the group progress. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 19. Members of the collaboration balance task and social needs so that the group can work comfortably and productively. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 20. Members are effective liaisons between their home organizations and the group. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 21. Members are willing to devote whatever effort is necessary to achieve the goals. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 22. Members monitor the effectiveness of the process. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 23. Members trust one another sufficiently to honestly and accurately share information, perceptions, and feedback. |
| True | More True Than False | More False Than True | False | |

The Collaboration Process

| | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|---|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 24. We frequently discuss how we are working together. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 25. Divergent opinions are expressed and listened to. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 26. The process we are engaged in is likely to have a real impact on the problem. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 27. We have an effective decisionmaking process. |

| | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|---|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 28. The openness and credibility of the process help members set aside doubts or skepticism. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 29. There are strong, recognized leaders who support this collaborative effort. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 30. Those who are in positions of power or authority are willing to go along with our decisions or recommendations. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 31. We set aside vested interests to achieve our common goal. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 32. We have a strong concern for preserving a credible, open process. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 33. We are inspired to be action oriented. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 34. We celebrate our group's successes as we move toward achieving the final goal. |
| True | More True Than False | More False Than True | False | |

The Results of the Collaboration

| | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|---|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 35. We have concrete measurable goals to judge the success of our collaboration. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 36. We have identified interim goals to maintain the group's momentum. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 37. There is an established method for monitoring performance and providing feedback on goal attainment. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 38. Our group is effective in obtaining the resources it needs to accomplish its objectives. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 39. Our group is willing to confront and resolve performance issues. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 40. The time and effort of the collaboration is directed at obtaining the goals rather than keeping itself in business. |

What one change would most improve the effectiveness of this collaborative effort? _____

WORKING TOGETHER: A PROFILE OF COLLABORATION

ADDENDUM

Please answer the following questions in the spaces provided.

1. Based on this and/or prior collaborations, what recommendations do you have for improving this group? _____

2. What do you think is working well in this collaboration? _____

3. What is your incentive now for participating in this collaboration? _____

4. What could we do to increase participation of others? _____

MODULE RESOURCES

Literature Resources

Collins, James C., and Jerry I. Porras (1994). *Built to Last: Successful Habits of Visionary Companies*. New York: HarperBusiness.

Chrislip, David D., and Carl E. Larson (1994). *Collaborative Leadership: How Citizens and Civic Leaders Can Make a Difference* (1st ed.). San Francisco: Jossey-Bass.

Dörner, Dietrich (1997). *The Logic of Failure: Recognizing and Avoiding Error in Complex Situations*, trans. by Robert Kimber and Rita Kimber. Reading, MA: Addison-Wesley Publishing Company.

Gray, Barbara (1989). *Collaborating: Finding Common Ground for Multiparty Problems* (1st ed.). San Francisco: Jossey-Bass.

Hammer, Michael (1997). *Beyond Reengineering: How the Process-Centered Organization is Changing Our Work and Our Lives*. New York: HarperBusiness.

Huxham, Chris, ed. (1996). *Creating Collaborative Advantage*. London: Sage Publications.

Larson, Carl E., and Frank M.J. LaFasto (1989). *TeamWork: What Must Go Right, What Can Go Wrong*. Newbury Park, CA: Sage Publications.

Mattessich, Paul W., and Barbara R. Monsey (1992). *Collaboration—What Makes It Work: A Review of Research Literature on Factors Influencing Successful Collaboration*. St. Paul, MN: Amherst H. Wilder Foundation.

Mattessich, Paul, and Barbara Monsey (1997). *Community Building: What Makes It Work: A Review of Factors Influencing Successful Community Building*. St. Paul, MN: Amherst H. Wilder Foundation.

Rottman, David, Hillery S. Efke, and Pamela Casey (1998). *A Guide to Court and Community Collaboration*. Williamsburg, VA: National Center for State Courts.

Schaef, Anne Wilson (1992). *Women's Reality: An Emerging Female System in a White Male Society* (3rd ed.). San Francisco: Harper San Francisco.

Scott, Cynthia D., Dennis T. Jaffe, and Glenn R. Tobe (1994). *Organizational Vision, Values and Mission*. Menlo Park, CA: Crisp Publications.

Wheatley, Margaret (1992). *Leadership and the New Science: Learning About Organization From an Orderly Universe*. San Francisco: Berrett-Koehler Publishers.

Winer, Michael, and Karen Ray (1994). *Collaboration Handbook: Creating, Sustaining, and Enjoying the Journey*. St. Paul, MN: Amherst H. Wilder Foundation.

Endnote

- i The original version of this presentation was developed by William Woodward as part of grant SJI-99-N-039, “National Resource Center on Collaboration in the Criminal and Juvenile Justice Systems,” by the State Justice Institute to the Center for Effective Public Policy and was revised by Madeline Carter in 2004. Mr. Woodward is a faculty member at the Center for the Study and Prevention of Violence, University of Colorado at Boulder. Madeline Carter is a Principal with the Center for Effective Public Policy. She is the Project Director for the National Resource Center on Collaboration in the Criminal and Juvenile Justice System.

Module

3

Values, Vision, Problem Identification, and Mission

MODULE CHECKLIST

Please use the following checklist to ensure that your presentation of Module 3 is complete.

Module Structure

Module Duration

- 3 hours and 15 minutes (includes one 15-minute break).

Module Topics

- Plenary session: The Importance of Values and Vision to the Work of a Collaborative Team (30 minutes).
- Teamwork Exercise 2: Examining Our Vision and Values (1 hour).
- Plenary session: Identifying Problems and Developing Clear Missions (20 minutes).
- Teamwork Exercise 3: Identifying the Problems and Developing a Clear Mission (1 hour and 10 minutes).

Module Instructions

Equipment and Materials

- A computer with an LCD projector and a projection screen.
- PowerPoint® slide presentation B.
- PowerPoint® slide presentation C.
- If an LCD projector is not available, transparencies of presentations B and C, and an overhead projector.

Faculty Roles

- The moderator** introduces the plenary sessions and the plenary presenters, dismisses the participants to their breakout rooms, ensures a smooth transition between sessions, and maintains the time limits of the agenda.
- The first **plenary session presenter** describes the importance of team values and vision, using the script in this module, and introduces the teamwork session.
- The second **plenary session presenter** introduces the content on problem identification and mission statement development, using the script in this module, and introduces the teamwork session.
- Team facilitators** instruct the teams on the mechanics of the teamwork exercise and facilitate the teamwork sessions.
- Support Staff** monitor plenary and breakout rooms and ensure that equipment is set up and functioning properly.

Tips for a Successful Module

- Be prepared for confusion about the differences between vision and mission.
- Be sure that teams finish their vision statements before moving on to develop their mission statements.

Module Content

Key Point

- ❑ There are four key concepts associated with defining a team’s collaborative work. These are the values that are shared among its members, the vision of the group, the problem(s) the group is addressing, and the mission of the group.

Teamwork Exercises

- ❑ Identify and articulate the individual and collective values of the collaborative team and create a shared vision for the team’s future, with their shared values in mind.
- ❑ Clarify the problems that must be addressed by the team and establish a vision statement and a mission statement that reflects the highest priority problems.

MODULE EXPLANATION

Module 3 has the following purposes:

- To introduce the foundational elements of team building: values, vision, problem identification, and mission.
- To provide an opportunity for teams to discuss their values and principles and develop elevating vision statements.
- To assist teams in defining the problems that impede their efforts to achieve their vision, and creating specific missions that will guide the work of the team.

This module contains two plenary and two teamwork sessions. The first plenary session and the teamwork session that follows address the importance of values and vision, engage participants in discussions about their values, and assist them to begin to develop a vision statement for their team’s project.

The second plenary session, and the teamwork session that follows, focus on the importance of identifying the problems that interfere with the achievement of the team’s vision. Teams use the problem statements they develop to create clear, specific mission statements.

It is recommended that the workshop faculty — including the moderator, this module’s presenters, and facilitators — meet to discuss this module in advance of the workshop. Individuals often approach the concepts of values, vision, problem identification, and mission from different perspectives. Faculty should be clear and consistent in their approach to these substantive issues during the workshop.

SAMPLE SCRIPT

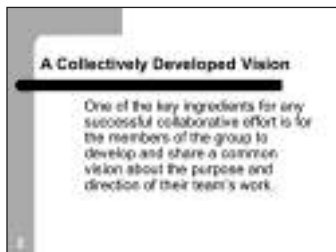
The Importance of Values and Vision to the Work of a Collaborative Team (Presentation B)¹

The italicized text are instructions to the presenter.



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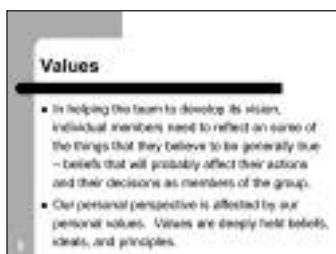
Today we are going to define and distinguish four concepts, and discuss the significant impact that each of these concepts has on the ability of members of a collaborative team to work together effectively. These four concepts involve appreciating individual values, articulating a collective vision, understanding relevant problems, and developing a mission for your team.



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A vision focuses on and describes how things “could be.” A vision is not about how things are, or concerned with how you might work to achieve some different outcome regarding a particular issue. A vision is all about the future. As a group, it is important for you to achieve some clarity about where you would like to go concerning your area of interest or focus.

While a personal vision of the future can contain very compelling thoughts and ideas, your team has to find a way to develop a collectively embraced vision. This means that the individual ideas of each team member will need to be discussed and considered.

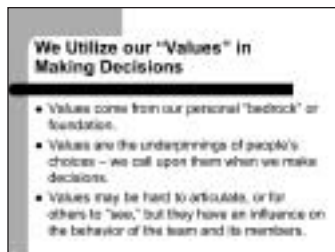


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In order for members of your group to be able to discuss reasonably your ideas concerning a shared, preferred future, it is first necessary for each member of your group to have some understanding of his or her own personal values, and an appreciation of the personal values of the other individuals who are on the team.

Values are deeply held beliefs, ideals, and principles. It is often not easy for us to identify our personally held values, because we generally do not talk about them. Instead, our personal beliefs are usually demonstrated in what we do, what we say, and how we perceive the actions and statements of others. For instance, how do you react when someone responds very bluntly to you? Do you see this person as rude and impolite, or as someone who doesn't waste time and is direct? Comments, situations, or actions can be interpreted in considerably varied ways by individuals who possess very different values.

Perhaps the easiest way to identify your own personal beliefs or principles is when they are not reflected or demonstrated in a particular situation. In other words, we can sometimes see our values more clearly when they are challenged in some way. If you are someone who values tact and politeness, for example, you might find it very upsetting or annoying when someone comes into your office and starts talking about business before they've said, "hello, how are you this morning?" The things that upset or annoy us in other people's behaviors often point to our own closely held beliefs or values.



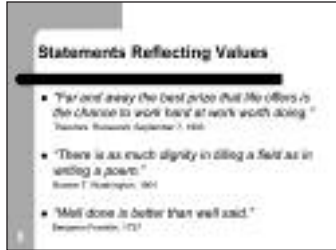
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Our values drive our personal decisionmaking. They help form the foundation that we call upon when we select an option or choose a direction. As a team member, it is important for each of us to articulate the beliefs and principles that we hold, so that our team members can understand and appreciate our personal perspectives.

For instance, some people may find it easier to work with individuals who possess a positive attitude about their work. Perhaps this occurs because they believe that displaying a positive attitude is generally helpful or more pleasant in a work environment, and they value things that are helpful and pleasant. In groups, such people might tend to align themselves with other individuals who are also interested in seeing the positive possibilities that are present, and distance themselves from those who only imagine negative consequences that might be forthcoming. We may find ourselves more willing to engage in conversation with individuals who seem to possess the same beliefs or values that we hold. You can see how this could impact a team: if we don't develop an appreciation and understanding of those whose values are different, it can create a distance among team members that can undermine the team's effectiveness.

Other beliefs — such as the willingness to work hard, to treat others with politeness and respect, to speak honestly and openly, or be tolerant of others' opinions — might be reflected in other situations. All of these beliefs may be seen as a reflection of a person's values.

Let's consider the personal values that might be held by the individuals who made the following statements:



Display Slide B-5 and B-6

(Ask the audience to offer opinions about the “values” that might have been possessed by the individuals whose statements are shown. Some suggested interpretations of the implicit values follow each statement.)

“Far and away the best prize that life offers is the chance to work hard at work worth doing.”

Theodore Roosevelt, September 7, 1903

(Implicit values: hard work, doing work that has value)

“There is as much dignity in tilling a field as in writing a poem.”

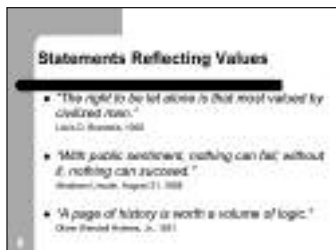
Booker T. Washington, 1901

(Implicit values: dignity of all people, dignity of manual labor, respect for all kinds of work)

“Well done is better than well said.”

Benjamin Franklin, 1737

(Implicit values: action, integrity)



“The right to be let alone is that most valued by civilized man.”

Louis D. Brandeis, 1928

(Implicit values: privacy, personal rights, personal freedom, respect for others)

“With public sentiment, nothing can fail; without it, nothing can succeed.”

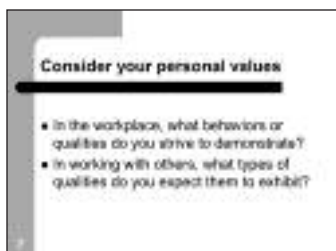
Abraham Lincoln, August 21, 1858

(Implicit values: importance of consensus, importance of public support, success)

“A page of history is worth a volume of logic.”

Oliver Wendell Holmes, Jr., 1921

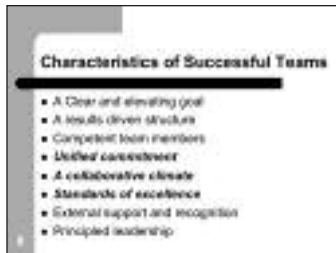
(Implicit values: experience, respect for lived experience, learning from experience)



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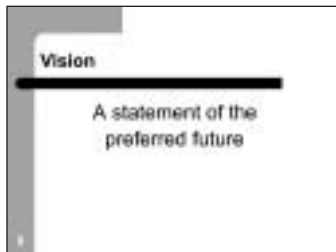
During your next team work session, you will be asked to identify some of your personally held values. To aid you in this effort, think about the types of behaviors or attitudes that you find agreeable or enjoyable in your work environment, and consider the types of behaviors or attitudes that you find to be annoying, bothersome, or troubling. In addition, think about the beliefs that underlie your substantive work on your project. This will help you to focus on your work-related values.

Listening to the values that are offered by others will aid you in understanding and appreciating what is important to your fellow team members. Indicating your individual values will enable your team members to understand your perspective, and to identify values that are collectively accepted, agreed upon, or appreciated. It will also aid all team members to know about actions or attitudes that are not welcomed or desired.



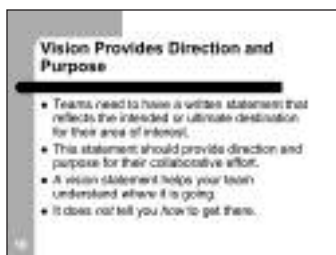
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Understanding and having an appreciation for the values of each member of your team will help you to achieve success in a number of different ways. It will help you to identify common ground, and begin the process of creating an identity for your team and a commitment to your common purpose. It will aid you in building the type of environment, a collaborative climate, in which productive discussions are more likely to occur. And it will help you begin to define the standards by which team members will hold themselves and each other accountable.



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Let's turn our attention now to vision. As indicated earlier, a vision is focused on the future, and indicates how things "could be." A vision reveals a person's, or a team's, perspective about a preferred future for the area of interest or focus.



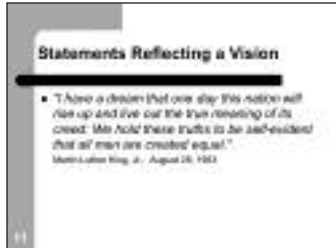
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In order for a team to be successful, it has to have a sense of what it is working towards. A vision statement helps to focus the imagination and energy of team members, and channels these positive attributes towards a common purpose. It is critical for team members to establish a collective vision, a vision that reflects their shared values, regarding their area of interest or focus. Without a collectively embraced vision, team members may work diligently but in different directions. Ultimately, a team without an agreed upon vision will be unable to make good decisions together about their work, and will be unable to determine if they are advancing in a proper direction.

While a vision statement reveals the general direction that the team would like to move in, it does not provide details about how or when it will move forward.

Display Slide B-11, B-12, B-13, B-14

(Ask participants to identify or describe the “preferred futures” that are reflected in these statements. Note how each statement indicates how things “could be,” but does not tell how the vision will be accomplished.)



“I have a dream that one day this nation will rise up and live out the true meaning of its creed: We hold these truths to be self-evident that all men are created equal.”

Martin Luther King, Jr., August 28, 1963

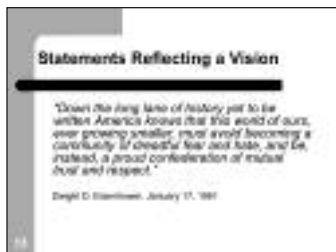
(A vision of all people living equally; a vision of the words becoming reality)



“The world’s wealthiest nation can never be satisfied until we are the world’s healthiest nation.”

Lyndon B. Johnson, March 31, 1966

(A vision of a healthy nation compared to others; a vision of spending a sufficient amount of the country’s wealth on health)



“Down the long lane of history yet to be written America knows that this world of ours, ever growing smaller, must avoid becoming a community of dreadful fear and hate, and be, instead, a proud confederation of mutual trust and respect.”

Dwight D. Eisenhower, January 17, 1961

(A vision of a nation whose primary values are mutual trust and respect; a vision of using the changes taking place in the world to improve relationships among people)



“Together let us explore the stars, conquer the deserts, eradicate disease, tap the ocean’s depths, and encourage the arts and commerce.”

John F. Kennedy, January 20, 1961

(A vision of a nation united to accomplish a number of large challenges: exploring space, overcoming challenges of the deserts, eliminating disease and improving health, exploring the ocean environment, and supporting business and culture)



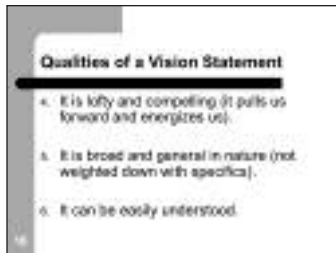
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Your team may or may not have already developed a vision statement to guide your work. If a vision statement has been created, it might not have been created by your whole team, or by the members of your current team. You now have an opportunity to create, or review, your vision statement.

A sound vision statement should indicate where you want to go, your “preferred outcome.”

It should reflect the values, ideals, and principles of your team members. It should be collectively derived and everyone should be able to identify with it.

It should be optimistic in nature. A vision statement is not the place to identify problems or things you want to avoid.



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A sound vision statement should be lofty and compelling; it should inspire you.

It should be general, not weighted down with specifics.

It should be clear and easy to understand. Anyone should be able to read it and understand what your team is working toward.

As indicated earlier, a vision statement that demonstrates a clear and elevating goal for the group is one of the essential characteristics of a successful team. To paraphrase the Cheshire Cat in Alice in Wonderland, “if you don’t know where you’re going, then any path will do.”



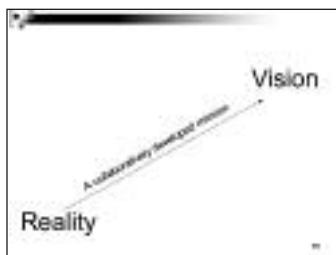
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Consider the following proposed vision statement that was drafted for the Seventh American Forest Congress:

“The great American forest, since our nation’s founding, has provided the resources to build our homes, our schools, our churches — it has provided the inspiration for our philosophers, our poets, our artists. Working together we can continue to improve, enhance and protect this great natural resource to help ensure that we have healthy forests with clean water, clean air, abundant wildlife, wilderness, and working forests in harmony with the needs of all Americans and for the generations yet to come.”

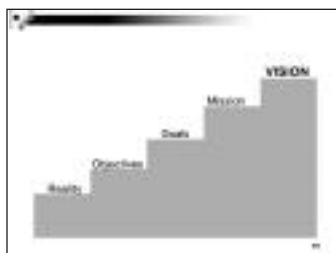
(Invite participants to discuss whether this vision statement reflects the six critical elements of an effective vision statement noted above.)

Does this statement help us to understand where this group may want to go? Does it appear to reflect the values of the group? Is it optimistic? Is it compelling? Does it avoid too many specifics? And is it easy to understand? If so, it may be a good example of the potentially powerful nature of vision statements.



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Another way of representing the significance of having a vision statement is reflected in this chart. If we consider our present set of circumstances as our “reality,” and our vision as our preferred future, then we understand the direction in which we want to move. The specific outcomes that we will seek to achieve, the particular things that, if accomplished, would help us to move in the direction of our vision, will be identified as the mission of our group.



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Our vision indicates where we want to go. Our mission will focus on particular areas that, if created or modified or improved, will allow us to move in the direction of our vision. It may take many teams, each with a unique mission, to reach a vision. Or, it may take the accomplishment of many missions by a single team to achieve a vision. The important thing is that we are moving in the direction of our vision. Goals will be critical actions or outcomes that must be achieved in order for us to complete our mission. Objectives are specific tasks that must be completed in order for us to meet our critical goals.

We will talk more about mission statements in our next session, and we will focus on goals and objectives in a later presentation.



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A clear and elevating goal for the group is one of the essential characteristics of a successful team. A vision statement is an articulation of your team's clear and elevating goal. Without it, it is impossible to develop a results-driven structure — how can you build a structure around results if you haven't clearly defined your direction? Having a collectively accepted vision statement will also help to build commitment from all members of the team towards a common outcome.



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At this point, your team will meet and develop, or consider modifications to, your vision statement. You will have an opportunity to discuss your values first, and then consider how those values translate into a vision, or how well those values are reflected in the vision statement you already have.

TEAMWORK EXERCISE DETAILS

Introduction to Teamwork Exercise 2

After the plenary presentation has concluded, the moderator summarizes the key points about values and vision, introduces the goals of the teamwork exercise, and sends participants to their breakout rooms.

Teamwork Exercise Instructions for Facilitators

The following are instructions for team facilitators on how to conduct the teamwork exercise, Examining Our Vision and Values.

Exercise Purpose

During the plenary session, participants learned about the major themes and issues concerning vision and values.

During this teamwork exercise, the facilitator leads the team in developing a vision that describes its “preferred future.” The team discusses its values, develops and agrees on team value statements, and creates a vision statement for its project.

Even if team members already developed a vision prior to the workshop, they should continue with this exercise and, at a later time, examine how the results of their work today compares with the work they have done previously.

Exercise Goals

The facilitator ensures that the team understands the exercise goals, which are to:

- Identify the individual values each member brings to the team; and
- Create a shared vision for the future.

Exercise Instructions

1. Discuss the values each team member brings to the collaborative effort.
 - Instruct all team members to make a list that includes two or three core values or principles that are central to the individual and his or her work.
 - Go around the group and have each team member state one of his or her core values. List these on the flipchart. Continue going around the group until all the values are listed.
 - From these values, identify two or three core value statements to guide the team’s work.
2. Based on these core values, create a team vision statement related to the project that presents the team’s “preferred future.” Ask the following questions: If your project were working ideally, what would it look like? Toward what outcomes would it be striving? How would it serve the community? Engage the team in a discussion about where it wants to go and why. Do not focus on the team’s current situation and its limitations.

- Each individual should write down several phrases describing the preferred future.
- Go around the group and have each person read one of his or her statements. Note these on the flipchart. Continue going around the group until all statements are on the flipchart.
- From these statements, create a vision statement for the collaborative team.

The following presentation immediately follows Teamwork Exercise 2.

SAMPLE SCRIPT

Identifying Problems and Developing Clear Missions (Presentation C)²

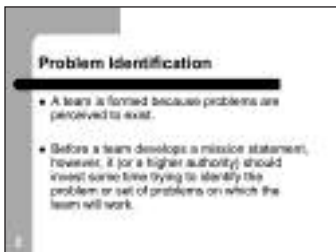
The italicized text are instructions to the presenter.



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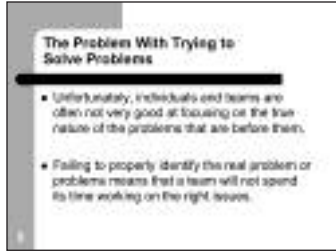
Now that you have spent some time as a group talking about your values and discussing your vision of the future, we will focus on the other two areas that were mentioned in the last presentation — identifying problems and developing a mission.

Let me pose a question to you. You have drafted, revised or recommitted to a particular vision of the future. Why have you not already reached this vision, the “preferred future” that you seek? Why hasn’t this preferred future already become a reality? Perhaps it is because it simply has not been considered or suggested before. But it is probably because there are problems, barriers, or issues that stand in the way of realizing this vision.



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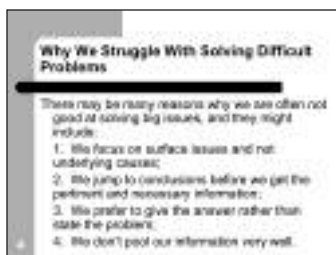
Identifying problems that keep you from moving in the direction of your vision is a critical undertaking for a team. If your team can articulate these problems, then you can begin to work on solutions to these problems. Sometimes, the problem or set of problems that your team is supposed to work on has already been established by the person or entity that created your team. Often, though, a team is only given a topic to work on, such as “reducing overcrowding,” or “improving communication.” These topics help you to know the area in which you should focus, but they do not tell you about the nature of the problems that are fueling the concern. Until you understand the specific problems that are keeping you from moving in the direction of your vision, your team will not know how best to utilize its time and energy.



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Every person is faced with problems to solve every day, and we employ our experience and utilize our knowledge to address these problems. We often have little time to spend solving our typical problems, so we develop short-hand methods for deciphering issues, identifying problem areas, and quickly producing solutions. When problems have a larger scope, we still try to employ our basic problem-solving reflexes to quickly address these issues.

Teams often employ the same quick-reflex methods to try and work on large topics. We are quick to identify issues and offer up solutions. But in our desire to move forward, we often miss the real or deeper issues that are present. For instance, whenever an issue arises concerning staff's failure to accomplish some task, there is always someone who is quick to suggest that people in the organization need more training. This assumes that people don't know what to do, that if they knew what to do they would do the right thing, and that training will teach them the right thing to do in a given situation. Of course, there may be many reasons why people don't do what their supervisors want them to do, such as disagreement with the tasks required, lack of adequate staff to do the work, belief that the task is unnecessary, lack of clarity about how to respond to a particular issue, lack of guidance in policy, or any number of other obstacles. So before we leap to conclusions about what should be done to correct a problem, we must first spend time analyzing the true nature, or cause, of the problem.



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Our desire to resolve all matters of concern quickly leads us to focus on the most visible sorts of problems. These might be called “surface issues,” because they are easy to see. But the forces that create or drive these surface issues are what we should be striving to understand and resolve. For instance, an employee may often be late for work. We can respond to this surface issue by disciplining the employee in some manner. This might correct the problem, or it might not. If we want to be more thorough in determining the best thing to do, we would need to invest some time trying to determine why the employee comes late to work. There might be time-oriented problems, such as having to wait until the child care center opens or transportation difficulties; there might be motivational problems, such as not liking the work or having problems with co-workers; or many other possibilities. The good manager wants to know what drives the problem or causes it to occur. This always gives us a better chance of resolving it effectively, and managing it appropriately in the future.

Other reasons we struggle with problem solving are that we are quick to jump to conclusions. We don't like not knowing the answers, so we supply them, and we often do not share critical information well with others, which causes us to misunderstand the problem.

Effective teams must be willing to invest some time identifying the problems that are keeping them from advancing in the direction of their vision. The identification of these problems will help them to determine exactly what they need to spend their time and energy addressing.



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Once your team has identified problems that are keeping you from advancing in the direction of your vision, your team must then decide which of these problems you will attempt to address. What are the most critical problems that you have identified? Are there some problems that must be solved before others can be addressed? You must collectively decide which of the suggested problems are the most appropriate or most critical to address. Agreeing on the problems to be resolved will provide the specific focus for the work that will be done by your team.

A common concern that most teams face is that they are overwhelmed by the sheer nature and scope of the problems that they have identified, and they may begin to doubt their ability to overcome these problems or to advance in the direction of their vision. When this happens, it is important to remember that you do not have to accomplish the vision that has been stated. As we discussed in the presentation on values and vision statements, it may take many teams, working at different times and on many different projects, to achieve the vision (if it can ever be fully achieved). Or, one team may have to accomplish many missions in order to achieve its vision.

What you must do, therefore, is develop a mission-specific focus. Your mission must be something that, when completed, helps your overall organization, system, or community to move in the direction of your vision.



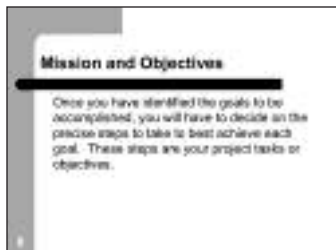
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A mission statement should help your team to understand what it is going to accomplish. It should provide a clear, short-term destination for your team. In other words, you should be able to know if you have accomplished your mission. A mission statement should also help your team to focus on a particular set of issues, and it should convey information about what your team believes and what your team members value.



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In order to complete your mission, there will be critical goals that must be achieved. These might include the collection and review of pertinent data, the mapping of your system in order to identify gaps or needs, or having the right individuals or agency representatives on your team. A critical goal is one that, if not accomplished, will prevent your team from satisfactorily completing its mission. The identification of critical goals will further focus the particular work that will be undertaken by your team. Often, critical goals are assigned to particular members of your team or to sub-committees to accomplish.

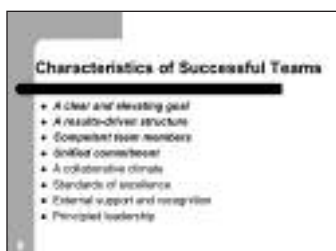


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Once your team has identified its mission and the critical goals that must be accomplished, you will see the need to perform a variety of specific tasks. These tasks will aid you in reaching or completing your goals.

Therefore, to summarize:

- Your vision provides you with a direction and an ultimate, long-term destination;
- Your mission involves identifying and resolving problems that are keeping you from moving in the direction of your vision;
- Your goals are critical items that must be achieved in order to accomplish your mission; and
- Your objectives are the tasks that you will undertake to reach your goals.



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Correctly identifying problems and developing a well-defined mission statement contribute to your success as a team in a number of important ways.

A mission statement is essentially part of a clear and elevating goal. A particular mission gains its importance because it will take you in the direction of that clear and elevating goal.

A collectively developed mission statement is also something around which team members can be unified. Everyone can be clear about what it is they are committing to and that strengthens individual commitment.

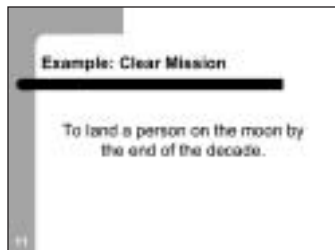
It is impossible to know what kind of technical competencies are needed on a team until you know exactly what it is you are going to do. It often happens that, once a mission statement has been developed, a team will decide that it is missing key stakeholders whose skills, input, or expertise are necessary for the achievement of that mission.

Finally, having a mission statement, goals, and objectives that are linked together helps us to structure our work in a productive way. When we know what results we are trying to achieve, we can organize ourselves to achieve them.



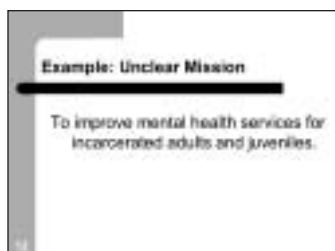
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Let's consider a few mission statements. Does this first mission statement provide sufficient clarity so that a team would know if it had accomplished its mission? Would a team attempting to accomplish this mission be clear about what it is trying to do?



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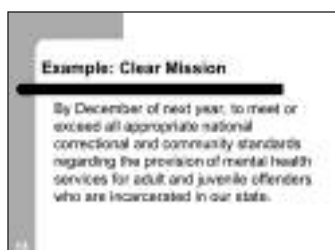
What do you think of this example? Would a team know if it had accomplished this mission? Would a team understand what it was specifically trying to do?



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Consider for a moment these two mission statements"

- To improve mental health services for incarcerated adults and juveniles.
- By December of next year, to meet or exceed all appropriate national correctional and community standards regarding the provision of mental health services for adult and juvenile offenders who are incarcerated in our state.



Which of these mission statements would be more helpful in preparing a team to work towards specific outcomes?

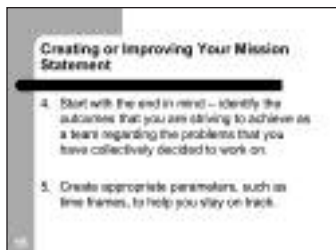
Particularly with this last example, you can begin to see how the specificity of the mission begins to make the work of the team clear. And there will be no doubt come December of next year whether the team accomplished its mission.



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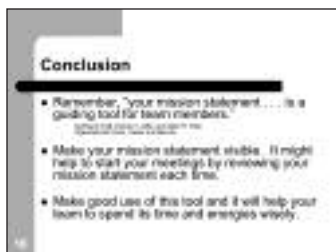
In order to create or improve the content of your mission statement, there are some specific steps that you should undertake as a team. First, spend some time identifying the most significant problems that may be preventing your team from advancing in the direction of its vision. You should be able to create “problem statements” for each substantial issue that your team identifies. Your problem statements should not contain a solution for each problem noted; rather, they should simply identify the problem itself. An example might be, “the jail is overcrowded.” That doesn’t tell us why it is overcrowded, or what we need to do to reduce overcrowding. It simply states the problem as a fact. Another example might be, “we have high return-to-prison rates for parolees.” Again, this problem could be caused by any number of different factors. We don’t know yet what we need to do about it, we only know that the rates are high.

Next, your team should agree upon which of the specific, identified problems your team will work on now. These might be the problems that are the most significant, or that you are best prepared to address.



In working on these particular problems, imagine how your system or work activities will look after the problem has been resolved or overcome. Imagining an end result will help your team with the next part of its analysis — identifying the critical goals that must be accomplished in order to complete your stated mission. Stephen Covey, in his book *The Seven Habits of Highly Effective People* [New York: Fireside (1990)] refers to this as “beginning with the end in mind.”

Finally, consider parameters for your mission statement, such as a time frame, that might help your team to stay on track. Teams often find it very useful to develop time-specific missions.



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Your mission statement should help your team to focus its efforts, be energized about its nature and purpose, and organize its work time. It is sometimes useful to begin team meetings by reviewing your mission statement, as this will help team members to stay on track with their work activities and discussions. Every member of a team should be able to articulate its mission, and explain how accomplishing this mission will help the team to move in the direction of its vision.

You are now going to complete a problem identification and mission development exercise in your teamwork session.

TEAMWORK EXERCISE DETAILS

Teamwork Exercise 3 Instructions for Facilitators

The following are instructions for team facilitators on how to conduct Teamwork Exercise 3: Identifying the Problem and Developing a Clear Mission.

Exercise Purpose

This exercise allows the team to clarify and come to a consensus on the problem or problems that the team has been created to address. The facilitator leads team members in developing a mission statement that will guide the team's future efforts.

Even if team members already developed a mission statement prior to the workshop, they should continue with this exercise and, at a later time, examine how the results of their work today compares with the work they have done previously.

Exercise Goals

The facilitator ensures that the team understands the exercise goals, which are to:

- Determine the problem or problems the team seeks to address; and
- Establish a mission statement for the collaborative team.

Exercise Instructions

The facilitator leads the participants through the following steps:

1. Articulate clearly the problem or problems the team needs to solve. The team should clarify the reason for its project and the strategic issues it is addressing.
 - Instruct all team members to list three statements describing the problem (or problems), including why it is a problem.
 - Go around the group and have each team member read one problem statement. Note these on the flipchart. Continue going around the group until all statements have been read and noted on the flipchart.
 - Have the group decide the top three problems that must be addressed.
2. The next step is to create a mission statement for the collaborative team that clearly articulates the team's purpose. The mission of the project describes the ultimate result the team is trying to achieve. It describes the team, what it wants to accomplish, and how it will carry out its work.

The facilitator needs to be clear that the team's mission statement is different from its vision statement. The vision is a broad or global aspiration, likely only achievable in the

long-term or by many separate efforts. The mission statement addresses one piece of the vision the team is addressing.

- Instruct each team member to list key phrases to help craft the mission statement.
- Go around the group and have each team member read his or her key phrases. Write these phrases on the flipchart.
- From these key phrases, craft a mission statement.

At the end of the session, the facilitator instructs the team to write its mission statement on flipchart paper and post it on the wall in the plenary room.

TEAMWORK EXERCISE 2

EXAMINING OUR VISION AND VALUES

Day, Date

1:00 p.m. — 2:00 p.m.

Purpose

During the last plenary session, the importance of clear team vision and values was discussed. Values are the fundamental principles and beliefs that people hold concerning their involvement in a collaborative process. They shape our decisions and actions and, consequently, have an effect on the results of our efforts. Values determine what we believe in and what we commit to, and they provide the foundation or anchor for the team. For this reason, it is critical for teams to discuss openly the values they bring to their work.

Developing a vision that describes what your preferred future looks like is essential to a successful collaborative process. For those involved in the process, a vision provides direction, inspires and motivates, and gives team members a reason to commit their energies to accomplish the many tasks ahead.

During this exercise, your team will discuss its values, develop and agree on team value statements, and create a vision statement for your project.

(Even if your team developed a vision statement prior to the workshop, you should continue with this exercise and, at a later time, examine how the results of your work today compares with the work you have done previously.)

Goals

The goals of this exercise are to:

- Identify the individual values you bring to your team; and
- Create a shared vision for the future.

Instructions

1. The first discussion centers on the values you bring to the collaborative effort.
 - Working individually, create a list that includes two or three core values or principals that are central to you and your work.
 - Go around the group and have each person state one of his or her individual core values. Note each on the flipchart. Continue going around the group until all the values are listed.
 - From these values, develop two or three core value statements that will guide your team's work.

2. Based on the team’s core values, create a team vision statement related to your project that describes your team’s “preferred future.”

- Ask yourself the following questions: “If our project were working ideally, what would it look like? Toward what outcomes would it be striving? How would it serve the community?” When you answer these questions, try to avoid focusing on your current situation and its limitations. Envisioning the future is not about articulating every task needed to get there; rather, it is simply a discussion about where you want to go and why.
- Individually, write down several phrases that describe your preferred future.
- Go around the group and have each person read one of his or her phrases. Note each on the flipchart. Continue going around the group until all the phrases are listed.
- From these statements, create a vision statement for your collaborative team.

3. If your team is unable to complete this exercise in the time allotted, continue your work together on this exercise during the next team work session.

TEAMWORK EXERCISE 3

IDENTIFYING THE PROBLEMS AND DEVELOPING A CLEAR MISSION

Day, Date

2:35 p.m. — 3:45 p.m.

Purpose

Ensuring that your collaborative team understands the problems you are working together to address is essential. This exercise allows your team to clarify and reach a consensus on the problem or problems it is addressing, and identify the data or information that will help shape and define the problem(s). Your team also will develop a mission statement that will guide its future efforts.

(Again, even if your team developed a mission statement prior to the workshop, you should continue with this exercise and, at a later time, examine how the results of your work today compare with the work you have done previously.)

Goals

The goals of this session are to:

- Determine the problem or problems your team seeks to address; and
- Establish a mission statement for your collaborative team.

Instructions

1. Articulate clearly the problem or problems your team needs to solve. Your team should clarify the reason for your project and the strategic issues you are addressing.
 - Write down three statements that describe the problem (or problems) that brings you to the table.
 - For each statement, explain why you believe it is a problem and what data or information is available to help define the problem.
 - Go around the group and have each member read one of his or her problem statements and briefly describe the information or data that supports this. Note these on the flipchart. Continue going around the group until all problem statements are listed.
 - Once all the problems are listed, hold a group discussion to determine the top three problems you are working to address.
2. After you have identified the problem statements, your team is ready to create a mission statement that clearly articulates your team's purpose. It describes who you are, what you want to accomplish, and how you will carry out your work.

Your mission statement will be different from your vision statement. The vision is a broad or global aspiration, likely only achievable in the long-term or by many separate efforts. Your mission statement addresses the piece of the vision on which your team is working.

- List key phrases to help your team craft its mission statement.
 - Go around the group and have each member read one of his or her key phrases. Note these on the flipchart. Continue going around the group until all key phrases are listed.
 - From these key phrases, craft your mission statement.
3. At the end of the session, write your mission statement on flipchart paper and post it on the wall in the plenary room.

MODULE RESOURCES

Literature Resources

Frankl, Viktor E. (2000). *Man's Search for Meaning*. Boston: Beacon Press.

Scott, Cynthia D., Dennis T. Jaffe, and Glenn R. Tobe (1993). *Organizational Vision, Values, and Mission*. Menlo Park, CA: Crisp Publications.

Wheatley, Margaret (1994). *Leadership and the New Science: Learning About Organization From an Orderly Universe*. San Francisco: Berrett-Koehler Publishers.

Endnotes

- 1 The original version of this presentation was developed by Dr. Francis P. Gavin as part of grant SJI-99-N-039, “National Resource Center on Collaboration in the Criminal and Juvenile Justice Systems,” by the State Justice Institute to the Center for Effective Public Policy, and was revised by Richard Stroker in 2004. Dr. Gavin is the Principal of Gavin Consulting in Brunswick, Maine, which provides consulting services to public and private institutions in the areas of organizational change, strategic planning, human resource management, and team building. Richard Stroker is a Senior Manager with the Center for Effective Public Policy.
- 2 The original version of this presentation is based on separate presentations by Richard Stroker and Dr. Francis P. Gavin as part of grant SJI-99-N-039, “National Resource Center on Collaboration in the Criminal and Juvenile Justice Systems,” by the State Justice Institute to the Center for Effective Public Policy, and was revised by Richard Stroker in 2004.

Module

4

Roles and Responsibilities of Team Members

MODULE CHECKLIST

Please use the following checklist to ensure that your presentation of Module 4 is complete.

Module Structure

Module Duration

- 4 hours and 35 minutes (over two workshop days).

Module Topics

- Plenary session: True Colors™ exercise (1 hour and 15 minutes).
- Plenary session: Roles and Responsibilities of Team Members (30 minutes).
- Teamwork Exercise 4: What Are Members' Roles and Responsibilities on our Team? (2 hours and 50 minutes, including one 15 minute break).

Module Instructions

Equipment and Materials

- A computer with an LCD projector and a projection screen.
- PowerPoint® slide presentation D.
- If an LCD projector is not available, transparencies of Presentation D and an overhead projector.
- Four flipcharts, markers, masking tape, colored paper, scissors, and glue (to be placed in each corner of the plenary room).
- Colored dot stickers (orange, yellow, blue, and green).
- True Colors™ booklets (one for each participant).

Faculty Roles

- The moderator** introduces the plenary sessions and the plenary presenters, dismisses the participants into their breakout rooms, ensures the smooth flow of the transitions between plenary sessions and the teamwork session, and maintains the time limits of the agenda.
- At the end of the day, the **moderator** summarizes the day's events, reminds everyone of the following morning's starting time and to wear comfortable clothes, and dismisses the participants.
- The True Colors™ **presenter** introduces the exercise and moderates the activity in the plenary room, using the instructions included in this module.
- The "Roles and Responsibilities" **presenter** discusses the roles and responsibilities of team members, using the script in this module.
- Team facilitators** instruct the teams on the mechanics of the teamwork exercise, facilitate the teamwork session, and assist participants to complete True Colors™.
- Support Staff** monitor the plenary and breakout rooms, ensure equipment is set up and functioning properly, and ensure that plenary exercise materials are set up.

Tips for a Successful Module

- Engage participants in the plenary presentation as described in the script.
- Keep the atmosphere light during the True Colors™ exercise.
- Place a flipchart in each corner of the plenary room prior to the True Colors™ exercise. Each flipchart should be labeled with one of the color groups (orange, gold, blue, and green) and supplied with markers, masking tape, colored paper, scissors, and glue.
- Ensure that there are enough True Colors™ booklets for each participant and that the colored dots are readily available to distribute.
- Faculty members assist participants in completing the True Colors™ booklets and circulate around the room to provide assistance.

Module Content

Key Points

- Identify individual participant personality types and explain how individual styles affect the work of collaborative teams.
- Define the concepts of team member roles and responsibilities.
- Clarify team members' roles and responsibilities, and communicate the importance of clear roles in establishing and maintaining a collaborative team.

Special Plenary Group Exercise

- Conduct the True Colors™ exercise in which participants complete a personality inventory and begin to apply the results to their work on their collaborative team.

Teamwork Exercise

- Conduct a “role analysis.”
- Discuss the topic of leadership in terms of its impact on team effectiveness.

MODULE EXPLANATION

Module 4 introduces and elaborates on the nature and importance of clear roles and responsibilities on teams. The purposes of Module 4 are:

- To help participants understand the importance of clear team roles and responsibilities and begin to apply that knowledge to their own teams;
- To instruct participants on the importance of learning more about their own personality styles and how they interact with others in the team setting; and
- To provide an opportunity for team members to discuss with one another their expectations regarding their own and others' roles and responsibilities in the work of their own teams.

First, in a plenary group exercise at the end of the first day, team members take a personality inventory test (True Colors™) to explore their own personality styles and how they interact with others in the team setting.

At the start of Day 2, participants attend a plenary session and then participate in Teamwork Exercise 4 in which they identify roles for themselves and the other team members. Participants discuss their individual responsibilities and their expectations of one another. They also discuss leadership styles.

To achieve the goals of this session, faculty should strive to create and maintain an informal atmosphere. Throughout this module, participants are asked to share of themselves personally and to have fun. A relaxed atmosphere contributes to the learning experience.

PLENARY GROUP EXERCISE A

The first day concludes with the plenary exercise on True Colors™. This team-building exercise:

- Allows participants to gain insight into their own personality traits and how those traits are similar to or different from the people around them;
- Gives teams the opportunity to reflect on their team composition according to color groups and to contemplate how that composition affects the activities and dynamics of a team; and
- Provides participants the chance to join with other members of their color groups and perform an activity that requires them to use their particular “color’s” strength.

The background of the exercise, the instructions for completing the test, and the method for processing the information are detailed below. Faculty should carefully review the “Preparation” section of this curriculum for additional necessary arrangements that must be made before the workshop (including information on how to order True Colors™ booklets).

True Colors™

The following background information is taken from the True Colors: Keys to Personal Success™ Web site (www.truecolors.org):

The theory behind True Colors™ is not new. It can be traced back to Hippocrates, who identified four different types of human beings.... In more recent years, Carl Jung described personality or temperament differences as a fundamental basis for understanding human beings. When his work, *Psychological Type*, was translated into English in 1923, it had a profound effect on Katherine C. Briggs, who had been studying differences in people for years. As a result, Briggs and her daughter, Isabel Briggs-Myers, developed the Myers-Briggs Type Indicator (MBTI), which is used worldwide. Their theory states that much of the random variation in human behavior is actually quite orderly. In their work, they identified and characterized sixteen (16) different types of people.

During the past thirty-five (35) years, David Keirsey has refined the work of Myers-Briggs. In his publication, *Please Understand Me*, he returned to classifying personality and/or temperament into four types. According to Keirsey, these four different types are different in fundamental ways. They want different things. They have different motives, needs, and drives. They analyze, conceptualize, understand, and learn differently. These differences create natural barriers to interpersonal communication, making understanding between people of different types difficult.

The True Colors™ metaphor has been developed from the work of Keirse. True Colors: Keys To Personal Success, translates his theory into simple and practically applied information. It brings complex ideas out of both academia and psychotherapy and sets them in clear, real-life applications.

True Colors™ Exercise Instructions

Prior to this session, the presenter places four flipcharts in each corner of the plenary room. Each flipchart should be clearly marked with one of the color groups (orange, gold, blue, and green) and should have markers, masking tape, colored paper, scissors, and other craft supplies placed nearby. Participants receive True Colors™ booklets before the facilitator begins the instructions.

The moderator welcomes the group back to the room and introduces the presenter. The presenter explains the three components of the exercise. First, participants type themselves into one of four personality groups by taking a brief personality inventory test. Second, participants join other members of their “color groups” and perform an activity that requires them to use their particular color’s strengths. Third, the teams reflect on their composition according to color groups and consider how that composition affects their activities and dynamics.

In the context of this exercise, participants ask, “What does my color bring to my team?” The presenter should repeat the following phrase before, during, and after this exercise: “This exercise is about working as part of a team, not just working on a team.”

The presenter guides the entire group of participants through the following steps:

1. Turn to page four of your True Colors™ booklet to follow along with the instructions.
2. Take out the four cards in your booklet. These may be punch-out cards. Place the four cards in front of you, picture side facing up. Review each illustration and arrange the cards in front of you according to how much the picture resembles you, from the one most like you to the one least like you.
3. Turn the cards over and read the descriptions on the back of each. Again, arrange the cards in order according to how closely they describe you, from the one most like you to the one least like you.
4. Look at the top section on page five of your booklet, which shows each illustration with an empty score box underneath. Score the pictures in those boxes according to the descriptions you just read: Write “4” for the card most like you, “3” for the card second most like you, “2” for the card third most like you, and “1” for the card least like you.
5. Look at the second section of page five. This section contains descriptive words. Work through this section, examining the rows horizontally. Reading from right to left, score each group of three words: write “4” for the descriptions most like you, “3” for the descriptions second most like you, “2” for the descriptions third most like you, and “1” for the descriptions least like you.

6. Look at the third section of page five. Total all the columns vertically, and be sure to include both the first and second sections of page five in your total. In other words, total the card scores and the descriptive word scores. Enter the total in the boxes provided. Your highest score indicates your primary, or brightest, color; the lowest score represents the color least like you.
7. Enter your color spectrum on page 14. Some people may find they have a tie score for their brightest color—that is fine. However, for the upcoming activity, you will need to select the color group with which you most identify.
8. Staff will be handing out colored dots for you to place on your nametag—this dot will represent your brightest color. If you have a tie score for your brightest color, put both on your nametag.
9. During this time, you can flip to the section of the booklet that describes your color and read about yourself.
 - ORANGE turn to pages 6-7.
 - GOLD turn to pages 8-9.
 - BLUE turn to pages 10-11.
 - GREEN turn to pages 12-13.

True Colors™ Group Processing

The presenter gives the participants the following instructions:

1. Walk to the corner of the plenary room to which your color group has been assigned. You will see a flipchart that is labeled with your color.
2. As a group, create a picture of what you, as representatives of your color group, bring to the table for collaboration. Be as creative as possible.
3. You will be given 30 minutes to create your picture. Facilitators will be floating from group to group if you need assistance.
4. At the end of the allotted time, your color group will be asked to describe your picture, what it means to your color group, and what it illustrates about your color. This should be a group presentation when possible.

Group Processing Exercise Modifications

For large plenary groups (over 50 participants), changes in the exercise may be advisable or necessary to accommodate the large number of participants. In these situations, presenters and facilitators may want to consider breaking down each “color” group into several smaller subgroups for the picture exercise, to encourage participation. Alternatively, the picture exercise may be replaced by subgroup discussions about the contribution that “color’s” strength makes to the collaboration process, or eliminated altogether in favor of longer team discussions about the “color” composition of their team and what that means about effective collaboration.

Once each group has presented its color representation and each participant has become familiar with his or her personality color attributes and those of the other color types, participants should reassemble in their original teams. Facilitators should encourage participants to recognize the array of colors on their team. Ask such questions as: What is the balance of colors on your team? Do any colors dominate? Are any absent? What does this tell you about the functioning of your team? Refer participants to pages 15-19 in the True Colors™ booklet to prompt discussions about how colors can best interact with one another.

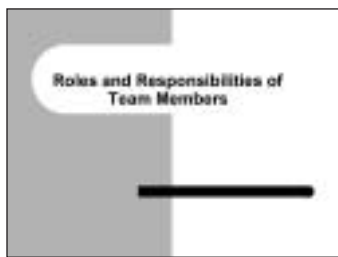
Conclusion

At this point in the agenda, the first day of the workshop is adjourned. The moderator summarizes the day, reminds participants of the morning's starting time and to wear comfortable clothes, and dismisses the participants.

SAMPLE SCRIPT

Roles and Responsibilities of Team Members (Presentation D)¹

The italicized text are instructions to the presenter.



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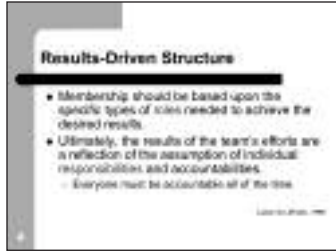
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As we begin our discussion of the importance of clear roles and responsibilities, let's do a quick review of the eight characteristics of high performing teams as identified by Larson and LaFasto. Of these characteristics, four of them are especially relevant to roles and responsibilities of team members.



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Specifically, let's look at the interrelatedness between clear roles and responsibilities and the characteristics that reflect a results-driven structure, competent team members, a collaborative climate, and principled leadership.



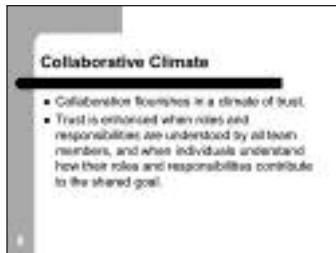
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As we discussed earlier, a results-driven structure emphasizes the need to establish a team that will ensure that the identified goals can be attained. When you think about who should be on the team, it is absolutely essential that you think ahead about where you want to end up, your desired destination. In order to get there, you must select your team members based on the roles and responsibilities that need to be filled in order to reach that end result. Everyone on the team must be accountable for their expected contributions toward the end result. Put simply, clear roles and responsibilities — and accountability for these roles and responsibilities — are a vital part of the structure of your team.



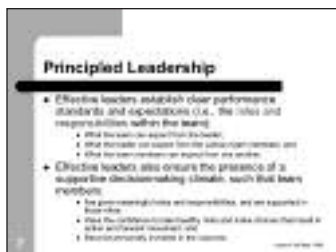
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As you will recall, having competent team members is another characteristic of successful teams. Competent team members have the essential skills and abilities to accomplish the work, a strong desire to contribute, and the willingness and capacity to collaborate effectively.



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We have also talked about the importance of trust in building a collaborative climate in which effective work can be done. When people are unsure of why they have been asked to participate, what others expect of them, and what they can expect from others, it is very difficult to develop the trust necessary for effective collaboration. Establishing clear roles and responsibilities, therefore, helps to build the trust necessary for collaboration to be successful.



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Finally, remember that having effective leadership is essential to the success of teams. Strong leaders inspire and motivate the other members of the team; they have a clear vision, and have the innate capacity to get others excited about that vision.

Effective leaders raise the bar for the team through the establishment of clear expectations for performance — they do not allow for uncertainty about expectations. They ensure that roles and responsibilities for all members — including themselves — are clear, in such a way that team members know what is expected of them, what they can expect from one another, and what they can expect from the leader.

In addition to a climate of collaboration and accountability, effective leaders also promote a supportive environment in which team members are trusted to assume meaningful roles. Within the parameters of the established roles and responsibilities, team members are given sufficient autonomy and encouragement to make decisions and take healthy risks. Effective leaders, therefore, support all team members in such a way that everyone can have a role in actively contributing to reaching the team's goals.

So, in summary, you can see that clear roles and responsibilities are an important part of the infra-structure of effective collaboration.



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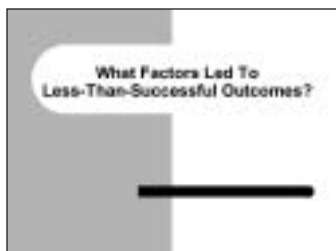
In the earlier presentation about collaboration, we asked you about your experiences with collaborative teams that did not work well. Another way to think about this is in terms of levels of success.

(Invite participants to raise hands in response to the following questions. You will likely see, and should comment on, increasing numbers of hands as you go through each question.)

How many of you have been part of a collaborative team that was a complete and total success?

How many have been part of a collaborative team that was only marginally successful?

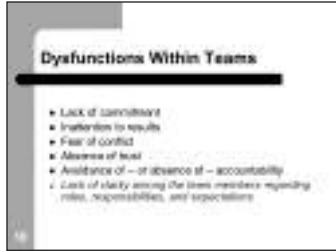
And how many have been involved with teams that you would consider a total failure?



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For those of you who responded affirmatively to being on teams that were only marginally successful or that were total failures, what were some of the factors that prevented the team from achieving its goals and being optimally successful?

(Solicit responses from the audience and, to the extent possible, tie the responses to the characteristics under discussion: clarity about roles and responsibilities, and the related subjects of results-driven structure, competent team members, trust and collaborative climate, and principled leadership.)

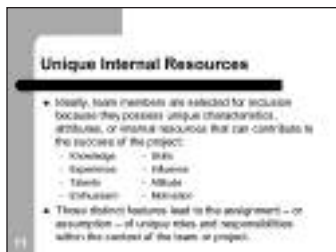


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These are some common dysfunctions within teams (*if these were mentioned by participants, refer to participant comments*):

Lack of commitment, inattention to results, fear of conflict, absence of trust – which can be caused or exacerbated by a number of different factors – and avoidance of or absence of accountability.

One of the most critical issues that we see with teams when they are not experiencing success is a lack of clarity regarding roles, responsibilities, and expectations of the various agencies and/or individuals who are members of the team. And that is the reason we are going to spend some time discussing roles and responsibilities of team members.



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We know that each individual member of a team brings something unique to the collaborative effort, whether skills, talents, resources, or approach. Whatever it is, each of you has something valuable to offer. Ideally, your unique contribution should be matched to your role and responsibilities on the team so that your teammates can expect from you that which you are best equipped to provide.



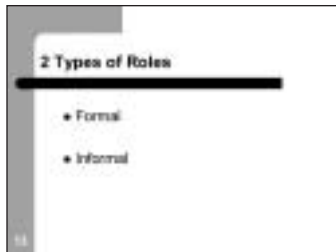
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Because sometimes it can be difficult to understand fully the distinction between a role and a responsibility, let's clarify what we mean by those terms before we go any further.

Generally, a role is the position you assume or the part that you play in a particular operation or process. For example, to bring a training like this together, there are multiple roles that need to be filled, and some people may play more than one of those roles. (*For the following example, presenters may choose to use themselves and their role as presenter as an example, rather than the generic example which follows. The role of presenter can be compared to other distinct roles they play in the training such as facilitator, or compared to another role outside the work environment.*) There is the convener, the person who invites everyone; the organizer, the person who manages the logistics of getting people together. Sometimes these are the same person, sometimes not, but they are distinct roles. There are presenters or trainers, and team facilitators. There is the audio/visual manager role, the part of making sure that the computers and LCD projectors are set up and functioning.

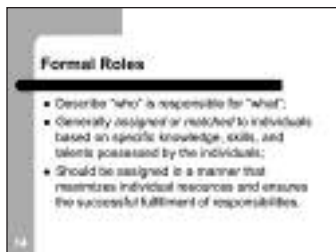
Responsibilities, on the other hand, are the specific tasks or duties that you are expected to complete as a function of your role. They are the specific activities or obligations for which you are held

accountable when you assume — or are assigned to — a role on a project or team. Let's take the example of a trainer or presenter. Some of the responsibilities of the person in the role of trainer include preparing the slides and the content of the presentation, maybe providing the slides to the meeting organizer in advance so that they can be copied for participants, being in the appropriate place when the presentation is scheduled to occur, speaking clearly to the audience, answering audience questions, etc. Again, those responsibilities are the specific tasks, duties, or expectations for which the trainer is held accountable.



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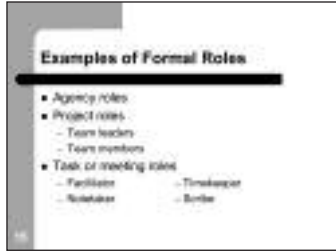
Generally speaking, there are two types of roles that people may have on teams. There are formal roles, which are the essential parts or positions that must be filled in order to collectively accomplish the goals of a project or team. And there are also informal roles, which may or may not be required in order to achieve the team's goals, but that can have an impact — either positive or negative — on the progress of the team.



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When we refer to formal roles, we are describing essentially “who” is responsible for “what.” Formal roles are absolutely essential for the success of the team. Obviously, if individual team members do not know what they are expected to do, it is highly unlikely that anything will get done. Again, a lack of clarity around roles and responsibilities is one of the primary reasons that teams fail to produce results. In addition, as many of you know, it is unlikely that you will continue to be interested or invested in a project when you don't know why you are involved or what is expected of you or the other members.

Typically, formal roles are assigned or matched to particular individuals based on the specific knowledge, experiences, talents, or other resources that they can bring to the effort. Ideally, we want to take full advantage of those unique contributions. Therefore, roles on teams should be assigned to individuals in a manner that will allow them to feel like valued contributors and that will ensure that they can maximize their skills and resources for the overall success of the team.



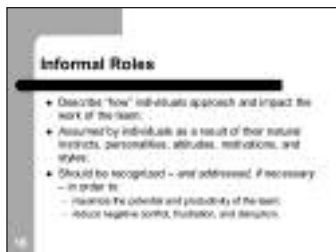
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At a macro-level, some examples of formal roles include agency roles. Most of you come from an agency or organization and have responsibilities specific to that agency or organization whether you are a policymaker, manager of a particular unit or department, or service provider within a particular unit or department.

Other examples of formal roles would be those parts that you play in a specific project. Certain kinds of project roles — and their associated responsibilities — can be similar to the broad roles you play in your respective agencies. For example, we might expect to see a key manager or supervisor from an agency assigned to the role of a project leader, the individual who organizes project activities and maintains project records.

However, it is not uncommon for the role that an individual has within an agency to be different from the role they have on a collaborative project team. The director of an agency, for example, may assume the role of a team member on a collaborative effort, rather than the leader. In this particular capacity, the agency director is not “in charge” or responsible for leading the effort, but instead is expected to be an equal participant who shares the workload and is given specific tasks to complete in order to accomplish the team’s goals.

Finally, at a more micro-level, there are formal roles that are specific to particular team activities or meetings. These are roles such as facilitator, timekeeper, notetaker, or scribe.

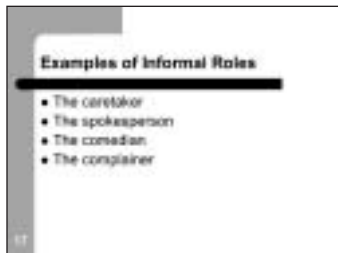


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In contrast to formal roles — which describe “who” is responsible for “what” — informal roles tend to describe the manner in which the parts certain individuals play impact the work of the team.

Unlike formal roles, informal roles are not assigned. Instead, they are assumed by individuals because of their personalities, motivations, individual styles and attitudes, or ways that they like to approach situations or tasks. And just as it is important to understand or recognize the formal roles people have within a team, it is also important to identify the informal roles played by individuals, because informal roles can have a significant impact on a team. Certain types of informal roles can enhance the overall productivity of the team, but the impact of other types of informal roles — if not addressed — can be negative and may detract from the team’s ability to function effectively.

Later, during our discussion of group dynamics, we will highlight some ways to manage informal roles that have a negative impact on the team.



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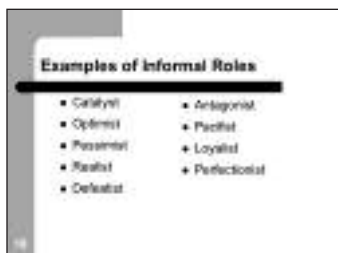
Here are examples of some of the informal roles that people play on teams. *(Invite the audience to raise their hand after each description if they believe they play the informal role being described.)*

Teams might have a caretaker. This is the person who makes sure that there is harmony, that everyone is getting along, and everyone's needs are being met.

Sometimes teams have an informal spokesperson. This is the person who takes responsibility for hearing everyone's voice, synthesizing the different opinions, and then speaking out on behalf of the group.

The role of the comedian is played by the person who wants to assume responsibility for making sure everyone is having a good time. Comedians break tension and conflict with humor. They make sure we don't take ourselves too seriously.

Another informal role played by individuals on teams is the complainer. Does anyone know one of these? This is the person who believes that it is their duty to ensure that everyone on the team knows that there are big problems. Often, the person in this role feels obliged to ensure that members of the team are never too content or too happy. The complainer can always be counted on to create discomfort, present barriers, and identify insurmountable challenges.



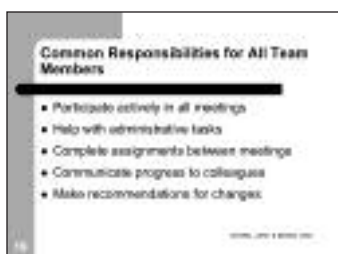
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Here are some additional informal roles that you may see individuals playing on teams:

- There is the catalyst. This is the person who is like the cheerleader, who contains the energy for the project, gets people excited, and forces people to move forward.
- There is the optimist, someone who is always looking at the positive side, who brings a positive perspective.
- There is the pessimist, who brings the negative perspective. Pessimists often will call themselves "realists" because their view of reality is negative. But the true realist is not necessarily negative.
- The realist is the person who conducts the reality checks for the team, who wants to see the team succeed and not get blindsided by events that are unanticipated.

- There is the defeatist, who gives up easily and needs frequent encouragement from the catalyst and optimist.
- There is the antagonist. The antagonist is not someone who occasionally plays “the devil’s advocate” — a role that can be very useful. Rather, this is the oppositional person who will undermine consistently the work of the group if allowed to do so.
- There is the pacifist. Sometimes pacifists can be helpful because they are not easily riled. Sometimes the pacifist will err on the side of passivity rather than taking on conflict, and this can be counterproductive.
- The loyalist can be true to any number of things, and the impact on the group will depend entirely on what the loyalist is holding on to. Sometimes loyalists are loyal to their agency, sometimes to the team leader, and sometimes to a particular position or idea. In general, lack of flexibility is not helpful to a team, but at least the loyalist is consistent.
- Finally, there is the perfectionist. Like many of these roles, the perfectionist can have a positive or negative impact. The perfectionist can be very attentive to detail and ensure that the team produces quality work. The perfectionist can also impede progress because nothing is ever seen as good enough.

These are just some examples of the kinds of informal roles that individuals play. The important thing to note here is that informal roles do have a significant impact — both positive and negative — on the work of teams, and it is important to identify and address those effects when necessary.



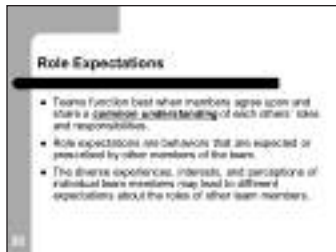
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Despite the many different roles and responsibilities people assume on teams, there are some responsibilities that are common to all team members and that are necessary for teams to function effectively and successfully.

These responsibilities include:

- Participating actively in all meetings and attending consistently.
- Assisting with administrative tasks, especially if yours is a team without paid administrative staff. It is important to spread the workload so that no single individual has to carry all of the burden.
- Completing any and all assignments or tasks that are given to you, and expecting to be held accountable for work that you agree to do.

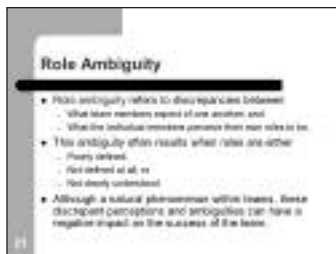
- Communicating progress to colleagues. All team members have a responsibility to publicize appropriately the achievements of the team to key stakeholders and constituents.
- Lastly, each of you has a duty to offer recommendations for changes that can enhance the work of the team. Everyone on a team is responsible for monitoring the process and progress of the team. If you see something that can and should be done differently, you have a responsibility to share that with your team.



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As we have emphasized already, clear roles and responsibilities are critical to the ultimate success of teams. However, such clarity is not always present within collaborative teams — particularly when teams are first established, and especially if there are individuals on the team who have not worked together previously. Regardless of whether a team is newly formed or longstanding, each of the team members will have desires and beliefs about what the other members of the team could or should be doing. We refer to these beliefs as role expectations.

Keep in mind, however, that because each team member comes to the team with his or her own experiences, perspectives, and interests, the expectations members have of one another may be widely varied. Often, they ask themselves: What can I expect from the other team members? What do they expect of me? What should I be doing? What should they be doing?



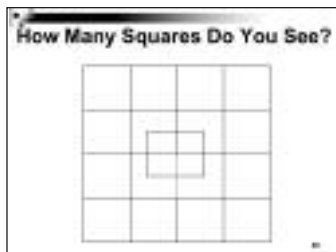
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When team members do not know what is expected of them, and have different ideas about the roles and responsibilities of team members, what results is a condition we call role ambiguity. Role ambiguity refers to discrepancies or inconsistencies between what team members expect of one another or one another's agencies, and what individual members perceive their own roles to be. This can be very damaging to a team, because if you don't know what you are supposed to do, how are you going to do it? If you have different expectations about what others are supposed to do, how is the work going to get done and how are people going to be held accountable?

Ambiguity in roles occurs when roles are either poorly defined; were never really defined in the first place; or have been defined but for some reason, are not clearly understood by all team members.

It is natural that team members have different expectations of one another when they initially come to the table. And it is understandable that, when a project is just beginning, team members are in the process of figuring out what the project is, who is in charge, and what the different roles and responsibilities are for each of the individuals at the table.

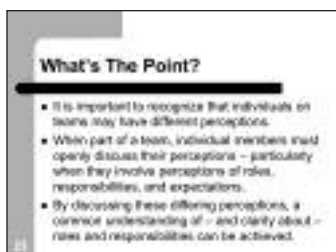
What is important is that the different perceptions and impressions about individual roles and responsibilities are discussed and that any ambiguities and expectations are clarified and agreed upon.



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Limited perceptions or misperceptions that are not addressed can undermine a team's work. I would like to ask you to look at this slide. How many squares do you see in this diagram? *(NOTE: it is important to ask this question in precisely these words. Allow no more than 5 minutes for this exercise. Invite participants to call out answers. There will probably be a variety of different answers.)* I hear a wide range of numbers, from ___ (fill in the blank appropriately) all the way up to ___, and many numbers in between. Who among you is correct? *(One or more of the participants will likely suggest that everyone is correct.)*

That's right. In essence, you all are. Why? Because this is about your perceptions. It is about what you see. I did not ask, "how many squares are there?" If I had, then you could say that there is only one correct answer. The correct answer is 35 squares. *(It is likely that a participant will offer the correct answer, in which case you can ask that participant to share with the rest of the audience how the number was derived. If not, the answer is derived as follows: 1 large outer square, 16 small squares, 9 2x2 squares, 4 3x3 squares, 1 square around the center, composed of 4 smaller squares.)* Again, because I asked, "how many do you see?" there was no wrong answer — but there was no single correct answer, either.



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The exercise we just completed highlights that there really is no single correct answer when it comes to perceptions. However, by discussing the various ways in which each of you came up with your different responses, we could have all come to some common understanding and achieved clarity through communicating and being willing to see one another's perspectives.

Similarly, within the context of collaborative teams, it is important that team members recognize the unique perceptions among team members. Specifically, each team member may have a different perception of his or her own role, as well as the roles and responsibilities of the others on the team. Each team member may have different ideas about who the other people are on the team and why they are there. It is important to get these perceptions out in the open so that they can be discussed and clarified.



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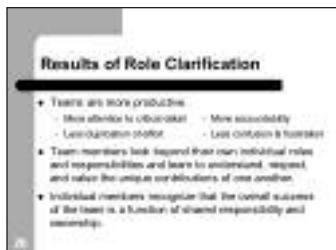
As we have emphasized, the process of clarifying roles and responsibilities is critical to the ultimate success of a team. Here is a visual representation of this process. You begin with role analysis, during which each team member examines his or her own role and describes their perceptions of the individual roles of their fellow team members. Next, team members acknowledge and understand the similarities and differences in team members' perceptions of their own and each others' roles and responsibilities. When discrepancies occur, it is important that sufficient time and effort is spent to clarify and reach an understanding of each of the team members' roles and responsibilities. Ultimately, this clarity around expectations results in a greater capacity to achieve what the team wants to achieve.



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In your next teamwork session, we are going to ask you to engage in an exercise in role analysis and clarification. Teams that engage in this kind of role clarification exercise perform better than teams that do not.

This exercise will ask you to outline your own role as you perceive it. You will be asked to list the perceived expectations of each of your fellow team members — what you believe they expect of you, and what you expect of them. And then you will have an opportunity to discuss where these expectations match and where they differ. Finally, you will try to come to a common agreement about roles and responsibilities of each of your team's members.



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We know that as a result of this process, teams will be more productive. Team members will be better equipped to attend to critical details, there will be greater accountability within the team, less duplication of effort will occur, and team members will experience less confusion and frustration.

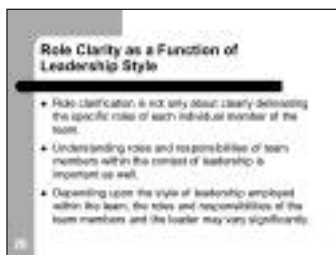
Another advantage of role clarification is that team members are better able to look beyond their own individual position on the team and have a better understanding of the value and unique contributions of each of their teammates.

Furthermore, through role clarification, teams are able to move definitively toward unity as a team, as the individual team members now have a better sense of how each person fits into the process of achieving the common goals of the team. The benefits of collaboration and shared responsibility and ownership become much more clear.



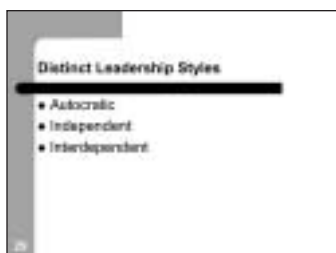
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As Harry S. Truman said, “It is amazing what you can accomplish if you do not care who gets the credit.” That is, in large part, what collaboration is all about. When we recognize that our roles and responsibilities are designed to complement one another and are collectively necessary for reaching our goals, the need for individual recognition no longer exists. When we are willing to work together selflessly in pursuit of the team’s common goal, we will achieve much greater levels of success.



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Before we wrap up, let’s take a couple of minutes to think about how roles and responsibilities can be impacted by leadership style. In other words, when we think about roles and responsibilities, it is not only important that we clarify the individual roles and responsibilities of each team member, but also that we understand that team members carry out their roles and responsibilities in different ways depending on the approach to leadership that each leader brings to this team. Let me explain what I mean by this.



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There are three distinct styles of leadership: the autocratic approach, the independent model, and the interdependent style.

With the autocratic approach, everyone’s roles are pretty simple to understand and easy to identify. The leader is clearly the person in charge and possesses all authority in relation to the team. Directives are issued to team members, whose primary roles are simply to do what they are told to do. The individual team members do not have autonomy or authority to do things on their own, or to use their own expertise and insight to make judgments and decisions.

Next there is the independent style of leadership. This is a model in which individual team members are assigned distinct roles and are responsible for specific tasks. They are not, however, generally

expected or encouraged to work together or depend on one another. After being given a task, they go to work on it independently, then report back to the group. The role of the leader within the independent leadership model is to manage the individual team members, assign duties, and synthesize the work of the group. Although individual team members have a clear understanding of what is expected from them, they may not be aware of the unique roles and responsibilities of the other team members.

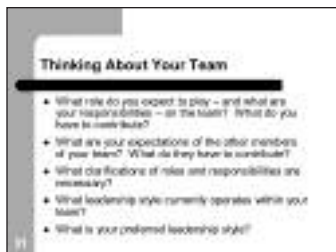
Finally, there is the interdependent model of leadership. This is the style that most resembles a collaborative team approach.



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In this model, the leader promotes role clarity and encourages everyone to understand each other's roles and responsibilities. In addition, each member of the team is given the authority, power, and influence to complete the tasks that need to be done in the most effective manner. With this type of leadership, you will often see work being done in small groups or subcommittees, as well as independently.

When functioning within an interdependent leadership model, a primary role of all team members — including the leader — is to complement and support the work of one another. This approach fosters a mutual respect for, and clear understanding of, each member's unique contributions to a set of common goals. Ultimately, this type of leadership brings out the best in each member of the team and leads to greater levels of accomplishment.



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In your next teamwork session, in addition to having an opportunity to better define your own role and the roles of your fellow team members — by answering some of the questions that you see here — we are going to ask you to think about how your team fits within the different leadership styles. This will be a good opportunity for you to look beyond your beliefs about your own individual roles and responsibilities, and to consider the expectations that you have for your fellow team members, as well as the expectations they have of you. At the same time, this will give each of you a chance to think about the type of leadership that would best suit you and your fellow team members — and to assess the style of leadership under which your team is operating currently.

TEAMWORK EXERCISE DETAILS

Introduction to Teamwork Exercise 4

At the completion of the plenary presentation, the moderator summarizes the key points and explains that the next teamwork exercise is an opportunity to discuss and clarify the expectations team members have of one another.

The moderator then sends teams and their facilitators to their breakout rooms to complete the exercise.

Teamwork Exercise Instructions for Facilitators

The following are instructions for team facilitators on how to conduct Teamwork Exercise 4: What are the Members' Roles and Responsibilities on our Team?

Exercise Purpose

In the preceding plenary session, participants heard and discussed the major concepts of role identification, role analysis, and the critical importance of effective working relationships among team members. Clear roles and expectations lead to a level of collaboration that promotes high productivity and effective team operations.

This session allows participants to discuss what they believe they can contribute to the team and to comment on how they view other members' contributions. The purpose of this exercise is to clarify and agree on team members' roles and responsibilities.

The exercise also provides an opportunity for members to discuss their team's leadership style and the composition of their teams to assure that all key stakeholders are represented.

Exercise Goals

The facilitator ensures that the team understands the exercise goals, which are to:

- Develop a statement of duties that reflects each member's expected contributions to the team;
- Discuss and clarify each member's expectations of himself or herself and of the other team members;
- Come to consensus on each team member's roles and responsibilities;
- Begin to discuss the team's leadership style; and
- Begin to discuss the composition of the team.

Exercise Instructions

Facilitators instruct team members to use the worksheets in their exercise packets to complete the following activities:

- Using the Role Expectations Worksheet, team members individually write a brief statement describing their perception of their duties and responsibilities as individual members of the team. They should consider their unique skills, talents, and expertise when thinking about the

specific role(s) they do/can perform. Their statement should include information about what they think the other team members expect them to contribute.

- Using the Role Clarification Worksheet, team members write brief comments about what they expect each member to contribute to the team's operations and performance.
- On the same worksheet, team members write brief comments about the type of leadership attributes and characteristics needed to support the team's performance.

This part of the session takes about 30 minutes. When completed, the facilitator conducts a group discussion using the following guidelines:

- Have members read their job descriptions and express what they see as their contributions to the team. Allow others to ask questions and clarify their comments.
- Compare and contrast each member's personal ideas about what he or she expects the other team members to contribute and discuss any differences in opinion or observations.
- Try to come to an understanding and consensus on each person's role and contribution to the team's operation.
- Have members exchange comments about the leadership style of the team, and discuss the current leadership style in use and whether it is the most appropriate style for the team. If the team has not selected the collaborative style as their current operating style, have the members discuss whether achieving a collaborative leadership approach is ultimately a goal of the team.
- Have the members consider the membership of their collaborative team (including those that were unable to attend the workshop) and discuss whether there are any stakeholders or interest areas absent from the team.

Exercise Modifications

For large teams (more than 7 members), changes in the exercise may be advisable or necessary to accommodate the number of team members. In these situations, facilitators may want to consider revising the portion of the exercise addressing Role Expectations and Clarification as follows:

1. Prior to the exercise session, hang flipchart paper (one piece for each team member) in the team's breakout room.
2. At the beginning of the exercise, ask team members to write their names and agencies on the posted flipchart paper (one team member per page). Ask each team member to write a brief statement describing their individual perception of their duties and responsibilities on the team. Remind them to give thought to the unique skills, talents, and expertise they bring to the group and how these relate to the specific role(s) they can perform. Their statements should include information about what they think the other team members expect them to contribute. Allow no more than 5 minutes for this activity.
3. After all of the team members have prepared their individual roles and responsibilities statements, direct each team member to go to the next flipchart (instruct the group to move toward the left or right, to keep the team members moving in the same direction) and write a brief comment about what they expect that team member to contribute to the team's operations and performance. Allow no more than two minutes for this activity.

4. Repeat Step #3 until all team members have had a chance to comment on each team member's flipchart.

Conduct a group discussion using the following guidelines:

5. Ask each team member to comment on the statements on their flipchart. Allow others to ask questions about and clarify the comments written. Compare and contrast the statements written by each team member with those written by fellow team members. Discuss any differences in opinions or observations. Come to an understanding of and consensus on each person's roles and contributions to the team's operation.
6. Follow the instructions above for each team member.

TEAMWORK EXERCISE 4

WHAT ARE MEMBERS' ROLES AND RESPONSIBILITIES ON OUR TEAM?

Day, Date

9:10 a.m. — 12:00 p.m.

Purpose

During the preceding plenary session, you heard and discussed the major concepts of role identification, role analysis, and the critical importance of effective working relationships among members of a team. Clear roles and expectations lead to a level of collaboration that promotes high productivity and maximizes your team's potential.

Members of your team come from different specialties and backgrounds. It is important that team members "step outside" their professional day-to-day responsibilities and think in terms of what they can specifically contribute to the team and how each can positively improve the level of team collaboration.

This exercise allows you time to discuss what you think you contribute to the team. It will also provide all team members with an opportunity to comment on how they view other members' contributions. The purpose is to clarify and agree on each member's roles and responsibilities on the team. It is also critical for teams to pay careful attention to the style of leadership adopted by their teams, as well as the composition of their teams, and assure that all of the key stakeholders are represented. This exercise will provide time for teams to begin to examine this issue as well.

Goals

The goals of this exercise are to:

- Develop a statement of duties that reflects your expected contributions to the team;
- Discuss and clarify your expectations and the expectations of the other team members;
- Come to a consensus on each team member's roles and responsibilities;
- Begin to discuss the leadership style of your team; and
- Begin to discuss the composition of your team.

Instructions

1. Using the attached Role Expectations Worksheet, individually write a brief statement describing your perception of your duties and responsibilities on your team. Give thought to the unique skills, talents, and expertise you bring to the group and how these relate to the specific role(s) you can perform. Your statement should include information about what you think the other team members expect you to contribute.

2. Using the attached Role Clarification Worksheet, write brief comments about what you expect each of your teammates (list each by name) to contribute to the team's operations and performance.
3. Briefly record the kind of leadership attributes and characteristics you believe are needed to support the team's performance.

This part of the session should take about 30 minutes. When completed, your facilitator will conduct a group discussion using the following guidelines:

4. Read your duties and responsibilities description, and express what you see as your contributions to the team. Allow others to ask questions and clarify your comments. Have others describe their expectations of you. Compare and contrast your personal ideas with those of your fellow team members. Discuss any differences in opinions or observations.
5. Follow the instructions above for each team member. Come to an understanding of and consensus on each person's role and contributions to the team's operation.
6. Next, exchange comments about the leadership style of your team. What is the current style in use? Is this the most appropriate style for your team? If your team has not selected the collaborative style as your current operating style, discuss whether achieving a collaborative leadership approach is ultimately a goal of your team.
7. Finally, consider the membership of your collaborative team including those who were unable to accompany you to this workshop. Are there any stakeholders or interest areas absent from your collaborative team? If yes, add action items to your workplan to recruit these additional members to your group.
8. If you are unable to complete this exercise in the time allotted, continue your work together on this exercise during the next team work session.

ROLE CLARIFICATION WORKSHEET

Below, please record your brief comments about what you expect each of your teammates (list by name) to contribute to this team's operation and performance, and your thoughts about the leadership attributes and characteristics that are important to the team's success.

Names of My Teammates

My Expectations of Them

The leadership attributes and characteristics I think are important to our team's success are:

MODULE RESOURCES

Literature Resources

Kalil, Carolyn (1998). *Follow Your True Colors to the Work You Love: The Popular Method for Matching Your Personality to Your Career*. Wilsonville, OR: BookPartners.

Keirsey, David, and Marilyn Bates (1984). *Please Understand Me: Character & Temperament Types* (5th ed.). Del Mar, CA: Prometheus Nemesis.

Keirsey, David (1998). *Please Understand Me II: Temperament Character Intelligence* (1st ed.). Del Mar, CA: Prometheus Nemesis.

Keirsey, David (1998). *The Keirsey Temperament Sorter*. Retrieved February 19, 2001, from the World Wide Web: <http://www.keirsey.com/cgi-bin/newkts.cgi>.

Kolb, David A. (1999). *Learning Style Inventory*. (Available from TRG Hay/McBer, Training Resources Group, 116 Huntington Avenue, Boston, MA 02116; E-mail: trg_mcber@haygroup.com; Web site: <http://trgmcber.haygroup.com/learn01.htm>.)

Scholtes, Peter R., Brian L. Joiner., & Barbara J. Streibel (2003). *The Team Handbook* (3rd ed.). Madison, WI: Oriel, Inc.

True Colors™ (undated). (Available from True Colors Communications Group, 30812 South Pacific Coast Highway, Laguna Beach, CA 92651; telephone: 800-422-4686, 888-698-2577; E-mail: connie@true-colors.com; Web site: <http://www.true-colors.com>.)

Endnote

- 1 The original version of this presentation was developed by Dr. Francis P. Gavin as part of grant SJI-99-N-039, “National Resource Center on Collaboration in the Criminal and Juvenile Justice System,” by the State Justice Institute to the Center for Effective Public Policy, and was revised by Dr. Kurt Bumby in 2004. Dr. Gavin is the Principal of Gavin Consulting in Brunswick, Maine, which provides consulting services to public and private institutions in the areas of organizational change, strategic planning, human resource management, and team building. Dr. Bumby is a Senior Manager at the Center for Effective Public Policy.

Module

5

Concurrent Discussion Groups

MODULE CHECKLIST

Please use the following checklist to ensure that your presentation of Module 5 is complete.

Module Structure

Module Duration

- 1 hour, 30 minutes

Module Topics

- Concurrent discussion groups (1 hour, 30 minutes).

Module Instructions

Equipment and Materials

- Equipment for this module will vary, depending on the options the workshop organizers select. Recommended materials include:
 - Lunch for each participant—preferably a boxed or “brown bag” lunch.
 - Table tents that clearly identify each discussion group, if the groups are convened in the plenary room and not in the breakout rooms.

Faculty Roles

- The moderator** welcomes participants back to the plenary room and gives them instructions for this session.
- Team facilitators** lead each discussion group.
- Support staff** ensure that the participants’ lunches are prepared (if applicable).

Tips for a Successful Module

- Consider holding this module over lunch. If this is not an option, consider other creative ways to accomplish the goals of this module, because it is the only activity designed specifically to encourage cross-team exchange.
- Provide written exercises of suggested topics and questions in the participants’ packets, even though this module is designed as a conversation.
- Make sure each participant understands the instructions for this session.
- Prior to the beginning of the workshop, review the disciplines that participants represent and group them. Establish what seems to be a reasonable number of discipline-specific groups. If some participants do not fit into the established groups, consider creating an “other” group or, alternatively, permitting those participants to select a group to join.
- Stress that members of each team split up to increase the level of interaction.

Key Point

- Provide participants with structured time in which they can interact with members of other teams who share similar professional backgrounds or interests to discuss both the benefits and challenges of collaboration for their discipline.

MODULE EXPLANATION

Module 5 provides participants with structured time in which they can interact with members of other teams and discuss their experiences participating on collaborative teams. This module immediately follows Teamwork Exercise 4 and has the following purposes:

- To provide time for participants to share with and learn from members of other teams; and
- To encourage participants to discuss the unique challenges—and benefits—of their discipline group’s participation in collaborative endeavors.

Participants often request that time on the agenda be allotted for this purpose. This module offers suggestions on how to incorporate this type of activity into the agenda.

PLENARY PRESENTATION CONTENT DETAILS

Introduction

The moderator informs participants that they will have the opportunity to meet with their colleagues from other teams in the plenary session room for a facilitated discussion during lunch and reviews the goal of the session: to provide individuals who share common roles in the criminal justice system an opportunity to meet with their colleagues from other teams to discuss their experiences serving as members of collaborative teams—both the positive experiences and the challenges.

The moderator points out the predesignated discipline groups and reviews the questions included on the concurrent discussion group sheet:

- What benefits have you experienced as a result of your participation on a collaboration team?
- Why is it important for your discipline to be represented on such a team?
- Are you facing any particular challenges as you participate in this endeavor? Do you need help resolving a particular issue?

Session Options

While it is recommended that this session be held over lunch provided by the workshop’s sponsor, certain restrictions may prohibit this. In this case, consider other ways to accomplish the goals of this module. For example:

- Send participants to a nearby restaurant to buy lunch and bring it back to the discussion.
- Inform participants that they need to bring their lunch on the second day of the workshop.
- Hold this discussion after the first day’s sessions are completed in a reception-style event and provide participants with snacks and beverages.

Session Instructions

Team facilitators lead the discussion groups. Participants briefly introduce themselves. Facilitators then use prepared questions provided by the faculty as starting points for the group discussion.

PLENARY GROUP EXERCISE B

CONCURRENT DISCUSSION GROUPS

Day, Date

12:00 p.m. — 1:30 p.m.

Purpose

The purpose of these concurrent discussion groups is to provide individuals who share common roles and interests in the criminal justice system with an opportunity to meet with their colleagues from other teams to discuss their experiences serving as members of collaborative teams, and to address challenges and concerns unique to their area of interest.

Goals

The goals of this session are to:

- Provide a forum in which individuals from different teams with common roles or interests have an opportunity to interact in an informal setting;
- Discuss the specific benefits and concerns individuals from each discipline or interest area face as they participate as members of these collaborative teams; and
- Where applicable, use the experiences of colleagues to talk through specific concerns and engage in group problem-solving.

Instructions

1. Faculty members will identify discipline-specific tables during the lunch session, after having reviewed the participant list and determining the appropriate groupings of participants into discipline-specific groups.
2. The moderator will announce the groups (e.g., judges, prosecutors, other court personnel, corrections) and instruct participants to join the group with which they are most closely affiliated. (A group of “other” disciplines may be necessary. Alternatively, those who do not match the designated groups can be invited to participate in the group of their choosing.) Faculty will facilitate the discussion groups and ensure that all participants have equal opportunity to talk. Each participant will be asked to introduce himself or herself. Facilitators will use the following questions as starting points for your group discussion.

Discussion Questions

- What benefits have you experienced as a result of your participation on a collaborative team?
- Why is it important for your discipline to be represented on such a team?
- Are you facing any particular challenges as you participate in this endeavor? Do you need help resolving a particular issue?

Module

6

Collaboration in American History

MODULE CHECKLIST

Please use the following checklist to ensure that your presentation of Module 6 is complete.

Module Structure

Module Duration

- 5-7 hours (over two workshop days).

Module Topics

- Plenary session: “Collaboration in American History” (30 minutes).
- Introduction to Teamwork Exercise 5: Experiential Learning Exercise (10 minutes).
- Teamwork Exercise 5: Experiential Learning Exercise (approximately 4 hours).
- Plenary session: Report Out From Teamwork Exercise 5: Experiential Learning Exercise (1 hour).

Module Instructions

Equipment and Materials

- The experiential learning exercise packets—one per team (see chapter 1).

Faculty Roles

- The moderator** introduces the presenter and the experiential learning exercise, facilitates the session in which teams report out from Teamwork Exercise 5, and maintains the time limits of the agenda.
- The presenter** explores the ways in which collaboration is represented in American history.
- Team facilitators** ensure that team members fully understand the experiential learning task.
- Support staff** ensure that the participant packets are available for distribution following the conclusion of the plenary introduction.

Tips for a Successful Module

- See chapter 1 for more details on the planning and preparation necessary for the experiential learning exercise. *Prepare for the experiential learning exercise well in advance of the workshop.*
- Research the local community to find an appropriate location(s) for the experiential learning exercise.
- Remind participants prior to the session that they should wear comfortable clothing and shoes.
- Do not accompany the team members on their excursion, but be available before they depart the plenary room to answer questions or clarify tasks.
- Make clear to participants that the exercise is a learning activity, not a tour.
- Allow enough time for participants to “report out.” Although teams should attempt to limit their presentations to 5 minutes, some teams may need more time for their reports. Therefore, allow 10 minutes per team on the agenda.

Module Content

Teamwork Exercise

- Find a model in local American history with which to compare the team’s collaborative efforts.

- ❑ Prepare a trip so the team can explore concrete examples of collaboration outside the workshop setting.
- ❑ Prepare a group presentation on the lessons learned during the exercise. This report is presented in full plenary session the following day.

MODULE EXPLANATION

Module 6 exposes the participants to experiential learning. The experiential learning model states that when individuals have a concrete experience, they reflect on that experience, abstract from it, and then act on it. For this workshop, participants are introduced to examples of collaboration in our country’s history and are then asked to visit, as a team, a historical location outside their immediate personal and professional worlds, consider the location’s relationship to the collaborative process, reflect on what they learned, and present those lessons to the plenary group.

The purposes of this module are to:

- Apply the experiential learning model to collaboration;
- Define and elaborate on the role of collaboration in American history;
- Apply historical examples to the role collaboration plays in current public policy; and
- Apply the workshop’s key lessons to each team’s current collaborative work.

This module must be adapted to the specific region in which the workshop is held and will require significant background preparation. Workshop faculty need to thoroughly research the selected location(s). This may include contacting the local chamber of commerce, history museum, or historical organization. The location must be reasonably accessible to participants, of educational value, and related to the topic of collaboration. Each team may be sent to a different location or all the teams to one location. See the “Preparation” section of chapter 1 of this curriculum for more details.

Be sure to obtain directions, transportation information, and hours of operation for potential destinations.

PLENARY PRESENTATION CONTENT DETAILS

Collaboration in American History

This plenary session, whether presented in a lecture format or by someone impersonating a character from history, provides multiple examples of historical collaborations. This session should be presented by someone who is both an expert in American (or local) history and on the topic of collaboration. (Two “Collaboration in American History” sample scripts follow. One was presented by a professional actor who frequently plays the part of Ben Franklin. The other was presented by a criminal justice professional with extensive expertise in American history. Because these approaches to the presentation are different, both are provided in this module.)

The presentation should introduce examples of collaboration throughout American — including local — history. For example, the creation of the U.S. Constitution is described as a collaborative process in one of the sample scripts. Other examples might include the Underground Railroad, especially if there is a relevant site nearby; the Civil Rights Movement or specific moments from the movement such as a boycott or lawsuit; or the history of the National Conservation Movement, such as the development of the National Parks or designation of National Forests.

The presentation should be interesting, inspirational, and thought provoking. The key point is to help participants view collaboration from a perspective they may not have considered previously. The presentation should show participants that great deeds can be accomplished through collaboration, and although it is often difficult work, each participant can and will have a positive impact on the future.

Report-Out

The report-out task takes place after the experiential learning exercise is completed. Because participants have the entire afternoon of the second day of the workshop to complete their assignment, they report out on the morning of the third workshop day.

The moderator facilitates this session, which requires participants to process the experience as a team. Team members share their reactions/feelings about how they are going to act or think differently as individuals and as a group because of what they have experienced.

SAMPLE SCRIPT

Collaboration in American History/The Building of America¹

This script, and the script that follows, are examples of introductions to the experiential learning exercise. During this presentation, discuss various examples of collaboration in history. Constantly relate the presentation to collaboration and the work participants are doing with their teams.

The key point in this presentation is to help participants view collaboration from a perspective they may have not previously considered — history. Show participants that great deeds can be accomplished through collaboration, and although it is often difficult work, they can have a positive impact on the future.

Your experiences up to this point in the workshop have been academic and concrete. We have presented you with information and asked you to work with that information in structured exercises in teamwork sessions. Through these exercises, we hope you have had a chance to focus on your team, your project, and your project issues.

In this session, we are going to discuss the business of collaboration in a different context. We are going to ask you to consider the city in which this workshop is taking place — Washington, D.C. Washington, D.C., is probably the greatest example of collaborative experiments and experiences in the world.

First, consider the location of our nation's capital. You may not realize that our country almost never existed because the founders could not agree on a location for the capital. In 1783, the Continental Congress, then known as the Confederation Congress, was meeting in Philadelphia. Because of certain events that affected their meeting, the delegates discussed the idea of creating a new Federal city.

Delegates for each of the 13 states had their own ideas of where this new Federal city should be located. This was a significant issue. The location of the Federal city meant a great deal in terms of who could travel there and who would control the new Federal government. The delegates assumed that whoever was nearest to the city would have the greatest opportunity to place people in positions of authority and run the government.

Two ideas emerged from the debate. The first idea was to place the new Federal city on the Delaware River, in Pennsylvania or New Jersey. Most northern delegates favored this location because it was closer to their homes. During the 1780s, traveling was not easy. The second idea was to place the new Federal city on the Potomac River. In 1785, the Confederation Congress had essentially decided on the first idea — to place the city on the New Jersey side of the Delaware River. Remember, there was no real Federal government in 1785, there was only the Congress. There was no President and no judicial system. There was no authority to act under the original Confederation — all 13 states had to agree by consensus for the Confederation Congress to act. Each state had one vote. If one state dissented, the idea was defeated. When the decision was made to place the new Federal city in New Jersey, the southern delegates conceded. It was not a horribly big deal because the Federal government was not a horribly big thing.

But then along came the Constitution, and the Federal government became a horribly big thing. Suddenly, there was going to be an entire government with all the components, such as a President, judicial appointments, and the reconstitution of Congress.

The first elections were held in 1789 under the new terms of the Constitution. In 1789, when the first Congress met, the first issue the delegates addressed was the location of the new Federal city. At first it appeared as though the location still would be in New Jersey. The southern delegates were upset and told Congress that if the new Federal city were not placed on the Potomac, they would not participate in the government. This was the government's first year of operation, and the southern states, nearly half of the Federal government, already were threatening to quit.

But this was not the only major problem. Most of the northern states had huge debts from the Revolutionary War. The state governments in the north did not have booming economies such as those in South Carolina and Virginia. The northern delegates needed help, and Alexander Hamilton, the First Secretary of the Treasury who was from New York, was their advocate. Hamilton said a law should be passed that would relieve all states of their war debts, but the southern states did not want to agree to this.

So, the northern delegates wanted money, and the southern delegates wanted the Federal capital on the Potomac River. Thomas Jefferson and Alexander Hamilton devised a simple collaborative plan to solve these problems, one that could not have succeeded if they had not worked together. Their collaboration had two results. First, Hamilton convinced enough northern delegates to change their votes to put the new Federal city on the Potomac River. Second, Jefferson persuaded the Virginia delegation to vote for passage of a law to absorb the war debt of the northern states. Because of this, the new government was saved and Washington, D.C., became the nation's capital.

Now, I would like to discuss the Constitution, which is probably the best-known document based on collaboration. The Constitution came about largely because of the efforts of James Madison, a

Virginia delegate to the original Confederation Congress. Madison was asked to serve on a group to examine the problems of the original Constitution, called the Articles of Confederation. Madison and the other group members determined that the document was useless. The only authority offered to the Federal government was to provide for sovereignty of the state, and there was no common currency, system of taxation, or militia. There was no real Federal government — no United States as we know it today. Maybe because of their experiences in the Revolutionary War and at negotiating treaties, Madison and the other examiners of the Articles of Confederation recognized that the document needed far more detail.

Madison and others used the venue of a conference in Annapolis, Maryland, in 1786 to put forth their idea that an entirely new government was needed. This was a unique situation — the country had just fought the Revolutionary War and formed a government; now people in that government were advocating for the need to create a new government.

These brave people put their fortunes, reputations, and lives on the line with the idea that they could create a new government. They wanted to develop a new system in which the Federal government would have much more authority, such as dealing with insurrection, coining money, raising and lowering taxes, and negotiating with foreign nations.

The delegates met for the Constitutional Convention in Philadelphia in 1787, and they constructed a remarkable document — the Constitution of the United States. It took several weeks to create. The Convention opened with 55 delegates in attendance, but only 39 actually signed the Constitution. Three delegates refused to sign, and 13 left the Convention because they disagreed with what was happening.

One of the most interesting details about the Constitution is the compromise by which it was accepted. As previously mentioned, Madison and others thought a new government should be formed — but one was already in place. According to the Articles of Confederation under which they were operating, all 13 states had to agree on each decision. The first impediment was that Rhode Island would not attend the Constitutional Convention. The authority to act was not in effect because one of the states would not agree to form a new government; it would not even send delegates to the meeting to discuss it.

The delegates in attendance at the Constitutional Convention developed an interesting solution. They decided that if all the states represented at the Convention agreed to the document, it would be sent to all 13 state legislatures. If two-thirds of the state legislatures agreed, then all the states would be bound by it. This was an interesting solution to an extremely difficult problem. However, even after the Constitution was enacted by a sufficient number of states, Rhode Island still would not agree to comply with it. George Washington, the newly elected President under this new form of Federal government, solved the problem by stating, in effect, “There are no longer Articles of Confederation. There is only a Constitution. If you are not a part of the United States, you are a foreign country, and we will deal with you as such.” Within a few weeks, Rhode Island adopted the Constitution. As participants at this workshop, you may recognize some of the aspects of these anecdotes and relate them to the collaborations you are involved in today; decisions and compromises are made in various ways.

So, a new government was formed, based on the work of 39 people. The new government called for an incredible balancing of powers between the people and the government, between the Federal government and the state governments, and between the branches of government within the Federal government. It was, and remains today, a remarkable balancing act.

The types of agreements that were made during the Constitutional Convention itself are numerous. There is almost no power within the Federal government or the Constitution that is “unchecked.” For every power that exists, there is a balance. This is true collaboration. For example, Congress can create law, but the President has to sign it — the President has a check on Congress. If the President will not sign the law, Congress can overrule it with a two-thirds majority vote — Congress has a check on the President. In another example, the President can appoint judges and ambassadors at his own discretion, but the Senate must approve those individuals — this is another check on the power of the President. The Senate cannot propose people to serve in those positions, but those individuals cannot serve without the Senate’s approval.

As we think about the Constitution and the notion of collaboration, we should contemplate what is all around us here in Washington, D.C. For example, consider the Lincoln Memorial. Abraham Lincoln is an incredible figure in American history. Some of the inscription on the memorial is from his second inaugural address, given in Washington in 1865, about a month before he was assassinated. At the time, the North was prevailing in the Civil War, and it appeared as though the war would end soon. In his address, Lincoln talked about healing the nation. “With malice toward none and charity towards all, we must go about the business of binding up the country.” Lincoln had a vision of what the country should be after the war was over. In fact, he had generous terms in mind for the southern states. He wanted it to be easy for them to reenter the Union. Lincoln had a vision of collaboration that extended beyond the war he faced; his vision was to consider the outcome, the aftermath of this country’s Civil War. In Lincoln’s mind, the South had never actually left the Union — they simply were fighting with the North. That was a different view of the situation than most other people had at that time.

Lincoln often talked about the difficulties he had with his cabinet and his country. He was presiding over a country that was torn in two. Some people wanted to exact revenge. Some people were angry about the atrocities that were carried out during the war’s battles. But Lincoln saw only the country as a whole; the people of the North and South were all his people. For example, Lincoln met separately with General Grant and General Sherman just before his death. Lincoln told them that when the Confederate soldiers surrendered, they should be generous and compassionate in their terms. As a result, when Sherman accepted the surrender of General Johnson’s forces in North Carolina, Sherman told the Confederate soldiers to keep their rifles — they might need them to go home and take care of their property and possessions. The North was outraged, but Sherman responded, “This is what is best for the nation. This is what Lincoln wanted.” Lincoln had a vision of how this county should come back together. It took many years after his death for his vision of collaboration to be realized, but it eventually happened.

The important figures in American history had a vision. Consider Franklin D. Roosevelt and the New Deal. The FDR memorial in Washington, D.C., outlines much of his career and life as well as the changes in America that were brought about because of his administration.

Other memorials include the Korean War Memorial, which mentions the 32 countries that participated in the Korean War. It is a monument to their efforts. The Vietnam Veterans Memorial, the National Archives, the National Museum of American History, all of these places are here in Washington D.C. They all represent examples of incredible cooperation and collaboration in our history. What do they all have in common? People with a vision, people with ideas who were willing to do something different.

It is amazing, once you set something in motion, the impact it has on future events. As you think about your project, think about what you are setting in motion. Think about the new ground you are breaking. Think about what you are changing and creating because of your energy. Those are the types of results you will see displayed in Washington, D.C. You can find examples of collaboration everywhere; hopefully you will find some that uniquely relate to you.

At this point in the presentation, conclude your comments, then introduce and clearly explain the experiential learning exercise that follows this plenary session.

You are people with ideas and vision who are willing to do something slightly different. We are asking you to experience collaboration firsthand by visiting a memorial or monument in Washington, D.C., that represents collaboration, considering some questions about your own experience with your teams and projects, and reporting back to us tomorrow morning on your excursions. *(Conclude by presenting the experiential learning packets, discussing the exercise and reviewing the exercise instructions.)*

SAMPLE SCRIPT

Collaboration in American History/Benjamin Franklin Remembers²

This second script is another way to introduce the experiential learning exercise. It is based on a presentation in which the presenter acted as “Ben Franklin.” He discussed Ben Franklin’s role in American history and how he accomplished great deeds by collaborating with others. The presenter captured the audience’s attention by wearing historical dress and imitating Ben Franklin’s mannerisms.

The key point in both presentations is to help participants view collaboration through history, a perspective they may not have previously considered. Every effort should be made to show participants that great deeds can be accomplished through collaboration. Although it is often difficult work, participants can have a positive impact on the future.

I am Ben Franklin, and I am here today to speak with you about collaboration.

If you visit my hometown of Philadelphia, you will notice that everything seems to have my name on it. You stumble over my statues, and every time you point out something, people say, “Ben Franklin started that.” Well, I did not do it alone. I was involved, but it took a lot of other people to be successful. I think that is something that we do not always understand.

In Philadelphia in the early days, I had many exciting experiences with my good friends. I remember one friend you probably are familiar with — George Washington. I especially recall one of our meetings prior to that Constitutional Convention, as you call it today. We had a big problem. There were 13 states, but those 13 states were acting as if they were 13 different countries. Thirteen states wanted to go in 13 different directions. We were not going to be the “United States” much longer if we did not do something about it. A crucial meeting on this issue was supposed to begin on May 14, 1787, yet it had not started, and it seemed as if it would never begin.

One week later, I sat with my friend General Washington at my home in Philadelphia and discussed my concern about the lack of action. I said, “General Washington, what happens if we fail?” Washington looked at me and said, “I have never failed!” I said, “Well now, General Washington, perhaps you think I am old, and perhaps you think I have forgotten everything, but I am certain I remember a little incident at Fort Mifflin that was not all that successful. Wasn’t there something in New York, didn’t they chase you up the island? Wasn’t that rather embarrassing? What about Brandywine, what about Germantown?” And he said, “Oh, yes. I have stumbled, and I have made many mistakes. But I have always ‘picked myself up.’ I have always learned from my mistakes. And I have never failed. Because it is only a failure if you quit.” And so, we kept going.

That is one of the things I have noticed over the years: People give up too soon. They look at something, and if it is not immediately successful, they assume it does not work. Well, that is not the case; if we had adopted that attitude, there would be no United States of America. From the vantage point of people today, it appears as if everything happened simply and quickly, that everything worked well together and things were wonderful — but it was difficult establishing this nation and getting it to the point where it is today.

For example, my neighbors and I decided we needed to start a volunteer fire department. It started from a need to solve a problem. We haven’t solved the problem of fires — there are still fires, and there are still some problems with buildings burning down, even with all the modern equipment that exists today — but that does not mean you do not work at solving the problem. It does not mean that you do not try to work together and accomplish something. Interestingly, people say, “Ben Franklin started the fire company.” I did not! I did not start the fire company. There were many people involved; even though all of their names are not remembered in American history, I did not do it alone.

Have any of you heard of a man named Paul Revere? You probably remember him as the gentleman riding around warning everyone, “The British are coming! The British are coming!” But I remember Revere as a silversmith because I saw a beautiful silver bowl he had created with an extremely intricate design. I remarked to Paul Revere that the bowl was perfection in its beauty. But he said, “No. That bowl is far from perfect. It is the bowl that has no design that has to be perfect because every little flaw can be seen. But beauty is not in being perfect. Beauty is in knowing how to make the design so the flaws are unimportant.” That is a good philosophy — if we expect that we must have perfection before we can do anything, then we never will do anything. We can only solve things in small increments. We must work around the flaws to get something done. I did that on many occasions in my business, in my community, in my personal life. Not everything goes smoothly all the time, but that does not mean that we give up.

Do you remember the saying from *Poor Richard's Almanac* about saving pennies: “A penny saved is two pennies.” (This is more commonly remembered as “a penny saved is a penny earned.”) It is not the collecting of pennies that is important — the importance lies in what you do with that collection. If you keep a penny in a drawer, no one benefits from it. But, if you put that same penny to work, it grows in value. It can be loaned out to help someone pay for an education, buy a home, or start a business. In that way, everyone can benefit from the penny. But it is not only money that behaves in that way — the concept applies to everything we have. It applies to your ideas, your talent, your energy, your intellect, and your love. If it is not put to work — if it is not shared — it dissipates and is wasted.

When you share an idea with others, they become excited about it and have other ideas, and the original idea grows. In terms of arithmetic, the growth is slow at first. The growth is so slow that at the beginning you may think, “this is not worth it.” But when you reach the end, you can see dramatic results. This is what happens with the ideas you have, the projects in which you become involved, and the things you do together to build for the future. You may not see the results immediately, but the future outcomes are amazing. That is one lesson I have learned.

I remember another lesson I learned about the importance of involving people in the projects in which I was interested. When I was a clerk in the assembly, there was another man who was opposed to everything I did. It seemed to be personal because everything that I was involved in, he was on the opposite side. He was a constant roadblock, and I could not understand it. But I was young, and I thought I knew the solution — I thought that if I did a favor or two for him, the situation would improve. So I went out of my way to do favors for this gentleman; every time I did, it made the situation worse. I could not understand it. Then one day, I was working on a project and needed to do some research. The only man who owned the book I needed to complete my project was the man I feared most. I knew he was not going to loan me that book, but I had to try. I found myself at his door, and when he answered my knock, I saw that he was as surprised to see me as I was to be there. He stared as I explained my predicament: I had to finish this project, and he was the only one who had the book I needed. If he would loan it to me for one night, I would bring it back promptly in the morning. I was sure he was going to slam that door in my face, but he did not. He turned and came back with the book. He did not say a word to me, but he handed me the book. I thanked him profusely, and as I walked away I heard the only words he spoke, “Promptly in the morning!” I stayed up all night and did the research; there was one problem I could not resolve, but for the most part, I could complete the project. I returned the book the next morning, and again he said nothing. I thanked him profusely and turned to leave, but then I stopped. I said to him, “You know, there is one problem I have not been able to resolve. Maybe you can help me.” There was silence, but then he started smiling. He invited me in, and 2 hours later we were the best of friends. He helped me on that project and on every project from then on. And I found out later through talking with him what had happened. When he was in opposition to me, it was because he felt I thought I was superior to him. He thought I looked down on him and he resented it — so he opposed me. But when I sought his advice, he felt I was finally showing him respect.

That is what we all want. We want to be respected for our ideas, our talent, our intellect — all the things that we have and do. We can respect people by asking them to be a part of what we are doing and to help us to accomplish something that is worthwhile. When someone comes to you and says sincerely, “I need your help,” do you feel good about it? Certainly you do. And yet we want to withhold that from people, we are afraid to ask them for help. Well, if you are genuine and you have

a genuine need, you do not have to worry about asking for help because that is really what we all want. We want to feel of value. And I used this lesson throughout my life in many, many situations.

That is the same position you are in; that is the same position we have been in since the beginning of this world. We do not accomplish things alone. We like to think we do, but we do not. And when we isolate ourselves, nothing gets completed, at least not the important things.

There was a time during the building of this nation when I was a part of a committee. Have you ever been on a committee? Five of us were on this committee, and we were supposed to write the reasons for our dissatisfaction with the King of England. There was a young man on that committee from Virginia named Thomas Jefferson to whom we gave the job of writing our declaration. Jefferson wrote it, and we pledged our lives and our fortunes and our sacred honor in signing it. And when we did, it was a promise to future generations that there would indeed be a free and independent nation for them and their children and their grandchildren to live in, but it would take a lot of people working together.

After Jefferson wrote that declaration, it went before our second Continental Congress for approval. It was changed and changed again until he was so upset he said, “You have ruined it! It is not mine anymore!” Then he stopped, because he realized something important. The declaration was not his. It could not be his. It had to belong to every one of us, and every one of us had to be working at it, thinking about it, putting all our ideas into it, if for no other reason than to make each one of us a part of what was happening so that when we signed it, it would belong to all of us. It would not be Jefferson’s declaration, it would not be Franklin’s declaration, it would not be Adams’s declaration. It would be everyone’s declaration.

Today, you are dealing with the same types of problems. You all look at a problem and can work at it from your side and leave it alone if you want, but if you truly want to make an impact, you have to bring everybody in, you have to work together, you have to get all the ideas, you have to get help from every angle and look at that problem — or you do not truly get solutions. And I am not saying that you will solve every problem. I am not saying that problems do not come back in different forms. But I am saying that if you want to make an impact on this world, if you want to leave something behind that is worthwhile, if you want to help people, you must use all your resources, and you must not isolate yourself. You cannot waste your resources because they dissipate, and then they are gone; they are lost. You must put them to work.

I know that is difficult. There are many problems with working together, but that does not mean that you do not try.

As I came here to Washington, D.C., I looked at the monuments, I looked at the museums, I went past the memorials, I looked at all the government buildings — and I realized something. They are all a part of what you are doing here today. They are all about collaboration — many people working together, giving their resources, sharing their talents, adding their ideas, using their skills, and working toward building something.

I have heard many times people talk about the Founding Fathers, and I can sense the awe in their voices. They put us up on pedestals, they have almost deified us, but, my friends, we were people like you. We were farmers, lawyers, tradesman — we were not gods. We were average people — just like you — who got together at the right time and were able to build something.

And what did we do, what did we give you? You see, I remember sitting in that Convention in 1787 — 11 years after we thought we had successfully completed a declaration, 4 years after we had fought a war — and we were working on trying to keep it all together! It was a chore. But we kept working. And we learned that if you can discuss your differences and find your points of agreement, you have a chance to solve your problems.

Maybe our greatest achievement, though, was to trust you. Do you realize what we accomplished? You look at the Constitution and the Declaration of Independence, but the real accomplishment for future generations was our confidence in you. You see, when you set up a government, there is a temptation to “etch it in stone” so the words can never be changed. But we resisted that — and we could only resist that because we had confidence in you. We wanted to provide future generations with a government they could change without revolution, one that could be changed in an orderly manner. And to take that step, we had to have faith in the future generations of this nation — that they would tackle the problems and work together to solve what we could not resolve.

We had to take a little bit at a time. There were issues we wanted to resolve. Some wanted to abolish slavery at the beginning of the country’s history, but we could not resolve it because there was too much dissension on the issue at the time. We had to start somewhere, so we started with a country that did not outlaw human slavery. That issue could have stopped us, but we chose to push forward. No matter how difficult the task is, no matter what you are doing, you have to be willing to make the attempt. You have to believe that a small beginning will have significant results in the future.

So, no matter how difficult the task is, no matter what you are doing, remember that you can do more together than alone; that you must show respect for one another; and that you mustn’t give up. And also don’t forget that your work is just like that penny: you have to watch it carefully, because although you may feel that nothing much is happening, if you look closely enough, you can see that down the line, it will make an enormous difference.

At this point in the presentation, the presenter concludes his or her comments. In this situation, to preserve the ambiance of the Ben Franklin persona, the moderator explains the experiential learning exercise that follows this plenary session.

You are people with ideas and vision who are willing to do something slightly different. We are asking you to experience collaboration firsthand by visiting a memorial or monument in Washington, D.C., that represents collaboration, considering some questions about your own experience with your teams and projects, and reporting back to us tomorrow morning on your excursions. *(Conclude by presenting the experiential learning packets, discussing the exercise, and reviewing the exercise instructions.)*

TEAMWORK EXERCISE DETAILS

Introduction to Teamwork Exercise 5

The moderator reminds participants prior to the session that this portion of the curriculum requires comfortable clothing. Following the plenary session, the moderator (or presenter) introduces Teamwork Exercise 5 to participants and dismisses them for the afternoon so they can go to an historical location to reflect on its relationship to the collaborative process.

The moderator introduces the goals of the exercise, which are to learn from four activities:

- The trip to and from the location;
- The time spent at the location itself;
- The time spent processing the event as a group; and
- The time spent the next morning as each team reports on what they have learned.

Faculty distribute the special exercise packets (described in the “Preparation” section of chapter 1) and are available to answer questions about the assignment. Faculty will not accompany participants for the exercise.

It is important that participants clearly understand what is expected of their teams during this experiential learning exercise and do not approach it as a “sightseeing” opportunity.

Tips

- Do not distribute the special exercise packets until the exercise is fully introduced. This will ensure team members won’t be distracted by the maps or other resources provided in the packet.
- It may be beneficial to use a slide presentation to introduce the exercise and to include slides on the goals of the exercise, the specifics of the team assignment, and the requirements for the report-out the following morning.
- If possible, make the breakout rooms available to team members in the evening or early morning to prepare their report-outs.

Teamwork Exercise 5 Instructions for Facilitators

The following are instructions on how to conduct Teamwork Exercise 5: Experiential Learning Exercise.

Exercise Purpose

This session applies the experiential learning model to collaboration. Each team finds a model in American history with which to compare its collaborative efforts. Team members explore examples of collaboration. Each team prepares a group presentation about what it has learned and presents it during the next day’s plenary session.

Exercise Goals

The facilitator ensures that the team understands the goals of the exercise, which are to:

- Provide an experiential learning activity to assist the team in further exploring and demonstrating its collaboration; and
- Use various examples of collaboration as concrete experiences from which team members can gain an understanding about their own team.

Exercise Instructions

The facilitator ensures that the team understands the following instructions, including those for reporting out the next morning:

- Reiterate to team members that the presentation they heard on the topic of collaboration and its role in history provided concrete examples of historical significance with which to compare the role collaboration plays in public policy today.
- Explain that the teamwork exercise provides team members with the opportunity to find a model in history with which to compare their team's collaboration efforts. Their assignment is to visit a location as a team and create a presentation for the rest of the group (see report-out instructions on the following page).

TEAMWORK EXERCISE 5

EXPERIENTIAL LEARNING EXERCISE

Day, Date

Begins at 2:10 p.m.

Purpose

The experiential learning model states that when individuals have a concrete experience, they reflect on that experience, abstract from it, and then act on their learnings. This exercise applies the experiential learning model to the issue of collaboration.

Goals

The goals of this exercise are to:

- Provide an experiential learning activity that will assist your team in further exploring and demonstrating its collaboration; and
- Use locations throughout the local area as concrete examples of collaboration in our country's history from which to gain an understanding of your own team and its collaborative work.

Instructions

You have just heard a plenary presentation on the topic of collaboration and its role in American history. The creation of the United States Constitution and many other events in this country's history are important examples of collaborative processes.

This teamwork session is designed to provide an opportunity for you to identify an event or person in American history with which to compare your team's collaboration. Your assignment is to visit at least one of the locations listed in the attached Location Guide as a *team*, and then, as a *team*, create a presentation about your learnings for the rest of the workshop group (see report-out instructions below).

Please choose from the locations listed in the Location Guide. The Guide contains directions to and hours of operation for each site.

Assignment

1. As a team, meet and plan your activities. Consider those locations best suited to meet your needs (i.e., which destination(s) will provide you with the best examples of collaboration in American history, which destination(s) meet the accessibility needs of your team members, etc.).
2. As a team, visit the destination(s) of your choice. Explore it thoroughly. Learn as much about its lessons in collaboration as possible.

3. Reflect on this example of collaboration and, as a team, consider how this piece of history relates to your own collaborative undertaking.
4. As a team, prepare a report-out for tomorrow morning. The report-out should address the questions below. It can be prepared in any manner your team chooses—PowerPoint® slide shows and oral presentations are common, but don't hesitate to be creative! Some teams have demonstrated their experiences through role-plays, have written poems, and have offered musical accompaniment to their report-out. Be sure to involve all of your team members in the actual report-out!

Report-Out

This exercise's report-out will be the first item on the agenda tomorrow morning. Your team will have 5 minutes to present its report (depending on the number of teams). Select a team member to be your timekeeper. This person should cue the team as time counts down and end the presentation promptly after five minutes. Advance preparation is expected. At a minimum, your report-out should touch upon the following:

1. Where did your team go? How did your team come to a decision on where to go? How did that process work for your team?
2. What lessons in collaboration did the site you visited offer? In what ways did your reflection on this example of collaboration in American history make you think differently about collaboration?
3. What did you learn about your team from this experience? (Some examples of the kinds of things you might comment on are: how well group members worked together, your approach to decisionmaking, your ability to overcome obstacles along the way, your sense of team spirit, etc.)?
4. What lesson(s) did your team take away from this experience?

MODULE RESOURCES

Literature Resources

Claxton, Charles S., and Patricia H. Murrell (1992). *Education for Development: Principles and Practices in Judicial Education*, monograph three. East Lansing, MI: The Judicial Education Reference, Information, and Technical Transfer Project.

Kolb, David A. (1984). *Experiential Learning: Experience as the Source of Learning and Development*. Englewood Cliffs, NJ: Prentice-Hall.

Murrell, Patricia H., and Susan P. Murrell (1999). "Implications for Drug Court Leadership and Management." *The Court Manager* 14 (3): 6-11.

University of Memphis. Various materials from the Leadership Institute in Judicial Education. Memphis: University of Memphis. Contact: Professor Patricia J Murrell, E-mail: pmurrell@memphis.edu; telephone: 901-678-2775.

Endnotes

- 1 This script is based on a presentation by Richard Stroker as part of grant SJI-99-N-039, “National Resource Center on Collaboration in the Criminal and Juvenile Justice Systems,” by the State Justice Institute to the Center for Effective Public Policy. This text is edited from the materials delivered by Mr. Stroker on March 14, 2000. Mr. Stroker is a Senior Manager with the Center for Effective Public Policy.
- 2 This script is based on a presentation by Ralph Archbold, an actor who plays the part of Benjamin Franklin, as part of grant SJI-99-N-039, “National Resource Center on Collaboration in the Criminal and Juvenile Justice Systems,” by the State Justice Institute to the Center for Effective Public Policy. This text is edited from the materials delivered on May 25, 2000. Ralph Archbold is the official Ben Franklin for the University of Pennsylvania, Freedom’s Foundation, and the Franklin Institute.

Module

7

Group Dynamics

MODULE CHECKLIST

Please use the following checklist to ensure that your presentation of Module 7 is complete.

Module Structure

Module Duration

- 2 hours and 10 minutes (includes one 10-minute break).

Module Topics

- Plenary session: Group Dynamics (30 minutes).
- Teamwork Exercise 6: What Influences Do Our Group's Dynamics Have on Our Work as a Team? (1 hour and 30 minutes).

Module Instructions

Equipment and Materials

- A computer with an LCD projector and a projection screen.
- PowerPoint® slide presentation E.
- If an LCD projector is not available, transparencies of presentation E and an overhead projector.

Faculty Roles

- The moderator** introduces the plenary session and the plenary presenter, dismisses the participants into their breakout rooms, and ensures that the agenda time limits are maintained.
- The plenary session presenter** introduces the plenary topic and content, using the sample script for this module, and introduces the teamwork session.
- Team facilitators** instruct the teams on the mechanics of the teamwork exercise and facilitate the teamwork sessions.
- Support staff** monitor the plenary and breakout rooms and ensure equipment is set up and functioning properly.

Tips for a Successful Module

- Team facilitators must be especially attentive during this module's teamwork exercise because the instructions are complex and the discussion content may be sensitive.

Module Content

Key Points

- Identify the stages of group development: “forming,” “storming,” “norming,” and “performing.”
- Discuss positive and negative group behaviors.
- Provide tips for effectively managing group dynamics.

Teamwork Exercise

- Complete a self-assessment and a group assessment of the team's development.

MODULE EXPLANATION

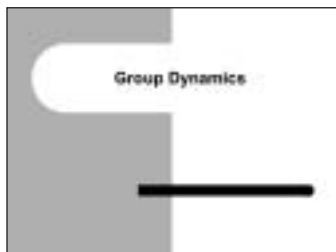
This module describes the stages of group development and the characteristics of successful groups. The topics include the dimensions of group development, positive and negative group behaviors, and tips for the effective management of group dynamics. The purposes of Module 7 are to:

- Introduce a common vocabulary about group dynamics;
- Instruct teams on how to work with self-assessment tools to understand their own group dynamics; and
- Encourage teams to examine the impact of their group dynamics on their collaborative efforts.

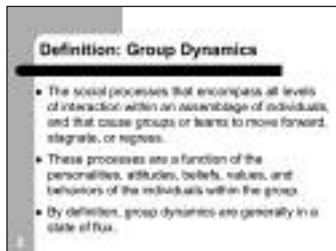
SAMPLE SCRIPT

Group Dynamics (Presentation E)¹

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Display Slide E-1



Display Slide E-2

As you all know by now, understanding group dynamics is critical to the work that you do in teams. In the experiential learning activity, and in other opportunities you may have had to get together with your team outside of your meetings, you may have noticed a number of interesting things about the dynamics within your team. And I suspect that some of the dynamics that you have experienced during your time here so far have been different in some ways than the dynamics that operate during your more routine business meetings. That is because when a group is taken outside of its typical environment, certain dynamics come into play while others recede.

When we talk about group dynamics, we are referring to all of the social processes that affect or are affected by the way in which a group operates together. Group dynamics are a reflection of what each of the individuals brings to the group — their personalities, attitudes, beliefs, motivations, as well as their skills, talents and behaviors. Group dynamics, therefore, describes the way in which these factors — these social processes — influence a team’s ability to work together, and whether they are able to move forward, end up moving backward, or whether they get stuck and are unable to make progress toward their goals.

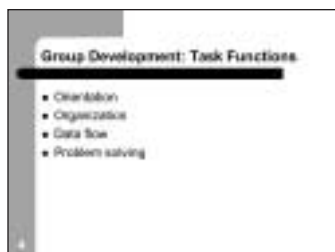
Group dynamics are, by definition, often changing, or in a state of flux. Think, for example, about how the mood of a meeting and the way people interact with each other can change depending on a specific individual coming or not coming on a given day. Or think about when someone new joins the group and how that can affect the way others on the team interact.



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Something that we know about teams or groups of individuals that come together around a common issue or problem is that they tend to go through similar stages of development. In other words, they evolve and mature over time in very predictable ways. And with the right combination of ingredients — such as proper leadership, the appropriate team members, and the right attitudes — teams will move through a series of developmental stages and end up as an effectively functioning group that performs and produces well.

This development occurs within two domains, or types, of functions: task functions and process functions.



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First, let's talk about task functions. These are the general activities on which groups focus their efforts. As groups mature and develop, their energy is directed toward managing different types of tasks or functions.

When groups or teams first come together around an issue, they tend to be in an orientation mode. Put simply, their work is geared mainly toward figuring out what it is that they are supposed to be trying to accomplish, what it is that brought everyone to the table.

Once they have a clear sense for that broad question, the group moves into the organizational phase. During this stage of development, the team's activities center around the critical tasks that will serve as the foundation for their ongoing work together as a group. For example, the groups will identify a set of common values — and a shared vision and mission — and will begin to develop some preliminary goals and objectives. They begin to understand how to organize themselves around the work that needs to get done and the information that will need to be collected.

As teams move beyond organization, they enter the data flow stage of development, during which the primary tasks for the group involve the collection of data that is analyzed and used to help inform the issue they are addressing. In addition, the group develops hypotheses that they will later test and evaluate.

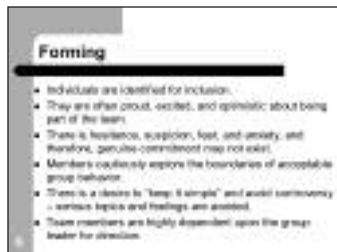
And finally, teams reach the problem solving stage, in which they apply the data they have collected to make decisions. They develop detailed action plans and strategies to address specific issues, and they monitor and evaluate the work that has been conducted thus far, the action plans that have been put in place, and the success of their efforts.



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The other dimension of group development involves process functions. For the most part, process functions describe the way in which the team members interact with one another, and how they interact as a group. It is within these stages of group development that group dynamics are most commonly considered.

From a process perspective, there are generally four stages of group development: forming, storming, norming, and performing. These terms may be familiar to you as they are common terms in organizational development work. *(This model was developed by Dr. Bruce Tuckman, 1965.)*



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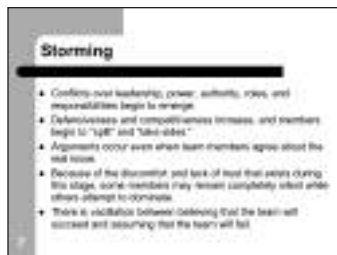
As is evident by its name, forming is the formative phase of group development, when team members are being identified for inclusion in the group and are starting to come to the table. When groups or teams are forming, many of the members are excited about being included as part of the team, and are often optimistic about the charge of the team.

At the same time, however, members may experience some anxiety and apprehension because they are uncertain about exactly how and where they fit into the team. So, at the forming stage, not everyone will be genuinely committed to the team because they are not yet certain about what is supposed to take place or what is expected of them. Obviously, these factors will have an influence on the dynamics of the group.

Specifically, members are often cautious and tentative at this stage as they try to figure out the operating norms of the group. Because some of the members may not know each other well, there may be a tendency to remain guarded. They generally avoid deep issues or difficult discussions.

Not surprisingly, at this initial stage of group development, team members are highly dependent on the group leader for guidance and direction. As such, the team leader plays a very important role, such

as helping the team members to become more familiar with one another, explaining what the team is trying to accomplish, and beginning to identify common ground. Most importantly, the team leader is responsible for helping to establish an environment or climate where the group can engage each other in the kind of discussions that need to take place for their work to be effective, such as the establishment of ground rules or operating norms.



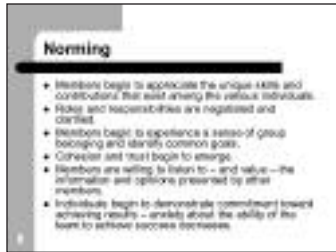
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The next phase is the storming phase. At this point, team members are beginning to feel a little bit more comfortable with what the group is trying to accomplish, but they begin to have conflict over who has the most influence, who has — or should be given — power and decisionmaking authority, and who should be responsible for taking the lead over the group process. Obviously, there can be a lot of tension during this stage. Skepticism and mistrust may begin to emerge, and people’s motives and interests may be questioned. This can become uncomfortable for team members, who will handle their discomfort in different ways. Some will vie for position while others will remain silent. Because of the imbalances and struggles that occur during the storming stage, people may question whether the team actually has the ability to succeed.

Leadership at this point is very important in order to help members resolve the tensions and disagreements that arise, such as issues of power and authority. This may mean that the leader’s approach will be questioned; but a good leader will allow and encourage productive disagreement about what is best for the team.

The leader of a storming team will also need to help to balance the climate, by clarifying agreements about group norms and group decisionmaking, and by holding group members accountable for abiding by group agreements. It will be important that everyone has an opportunity to participate, and the leader may want to institute practices such as a “round robin” approach so that all members can be heard on a particular topic or decision.

Ultimately, the leader needs to ensure that the natural process of storming does not become grounds for the development of excessive mistrust or disengagement of team members. Instead, it should be an opportunity to experience productive conflict and debate that will begin to build trust and commitment.

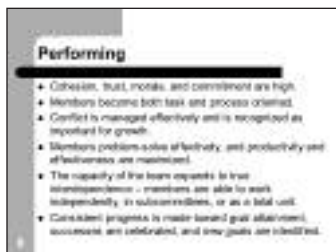


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After navigating the uneasiness and tension that characterize the storming phase, the group dynamics begin to stabilize and shift in a positive way. The team has now entered the norming stage, and the members begin to feel much more comfortable with each other. This is a time in which the various roles and responsibilities of each of the team members are negotiated and clarified. As a result, they begin to recognize and appreciate each other for their unique contributions, and everyone begins to feel a sense of group belonging.

Cohesion and trust increase significantly during this stage, and because of that, team members are more open to one another’s perspectives and ideas. By now, the members of the team are also more willing to challenge one another and are practicing conflict resolution skills.

One thing that is very interesting during the norming stage is that the group members start to become less dependent on the identified leader of the team. That is because the leader has begun to encourage other members of the team to assume leadership roles as well, and all members are supported in their efforts to take healthy risks and to take initiative. During this phase, everyone has been encouraged – and expected – to become active contributors to the team process. Because of these positive changes in the group’s dynamics, teams at this stage begin to see more commitment from each of the team members, and they are now invested in achieving results.



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Lastly, groups enter performing mode, the final process-related stage of group development. In this stage, trust and cohesion have reached their peak, and morale and commitment are at a high. The team members are very comfortable with – and truly value – one another. They recognize that conflict is necessary, that it is important to have disagreements and divergent opinions. The team members clearly see the value in understanding and communicating about individual differences so that they can problem-solve effectively. They are clear about their individual roles and responsibilities, and recognize the need to collaborate in pursuit of the team’s goals.

At this point, the team is producing and accomplishing. They are attaining goals and celebrating successes. The team has reached the optimal level of group development in terms of their processes.



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Your next team work exercise will include an opportunity to discuss where your team is in terms of both the task and process functions. Optimally teams will reach the peak stages of group development — problem solving and performing — because that is the stage in which work is accomplished most effectively. Like other developmental models, this model suggests that successful completion of the earlier developmental tasks is necessary in order to reach the optimal stage. *(This analysis was adapted by the Center for Effective Public Policy from concepts in Group Development Assessment, by John E. Jones and William L. Bearley, Organizational Design and Development, Inc., 2001.)*



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As you well know, however, there are a number of dynamics — or dysfunctions — that can prevent teams from successfully completing their developmental tasks, and performing to their full capability. (From Patrick Lencioni, *The Five Dysfunctions of a Team*, Jossey-Bass, San Francisco, California, 2002.) We have touched on these previously as sources of struggle for collaborative teams: an absence of trust, fear of conflict, lack of commitment, avoidance of accountability, and an inattention to results.



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Let’s start with the absence of trust. We have talked about this in several different contexts now. This is one of the critical “make or break” dynamics for teams. Obviously, when team members do not trust one another, it has a negative impact on the work they are trying to do. Without trust, team members have no confidence in one another and, therefore, they are not willing to invest themselves, to be open and honest, to put concerns or ideas on the table, or to fully engage with one another. Instead, they are preoccupied with protecting themselves from each other. Consequently, the absence of trust will severely impede progress toward the team’s goals.

It is important to note, however, that trust does not just appear — and it is unreasonable to expect a new team to have trust immediately. Trust develops over time and through experience. Therefore, at all times, members should be extremely vigilant to avoid any behaviors that may create mistrust among their fellow team members, and they must actively strive toward fostering an environment in which trust can develop and flourish.

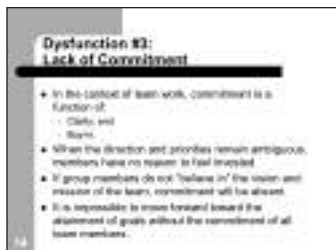


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The next dysfunction that many teams experience is the fear of conflict. This is a particularly common dynamic for newly formed teams. It often happens because team members do not want to “rock the boat” and consider conflict as “off limits” or taboo. So, they are afraid to confront one another, challenge one another, or even ask questions of one another. Instead, they spend — or waste — a significant amount of time and energy trying to manage themselves and the environment around them in order to avoid conflict at all costs.

Unfortunately, avoiding conflict will not help teams move forward. The reality is that healthy conflict — or productive debate — is an essential dynamic for successful teams, because it allows team members to see and explore different perspectives and viewpoints. It helps team members gain a greater appreciation for the unique differences that their fellow team members bring to the table. It allows for the identification of innovative and creative solutions to some of the challenges that the team members encounter. And it helps to ensure that teams do not get stuck or spin their wheels because nobody is able to put the “real” issues on the table.

Remember, the ability to have healthy conflict or debate was one of the elements that demonstrated the effectiveness of a group, and that was a prerequisite of optimal group development.

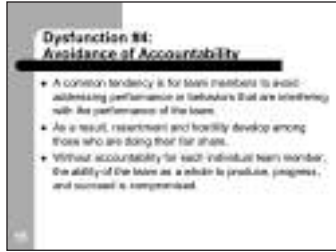


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The third dysfunction — a lack of commitment — is dependent primarily upon two factors: clarity and buy-in. This is pretty straightforward. When there is a lack of clarity about the vision, mission, and collective goals of a group, the team members have no compelling reason to want to be involved.

Furthermore, if the team members do not “believe in” what the group stands for — or in the identified direction and purpose of the group — commitment will be non-existent. Even if individuals decide to remain as part of the group (which is highly unlikely) they will be unmotivated, and they will neither perform nor produce. And why would they? What would be their motivation?

Certainly, it is easy to understand why, without genuine commitment from all team members, the team cannot move forward.



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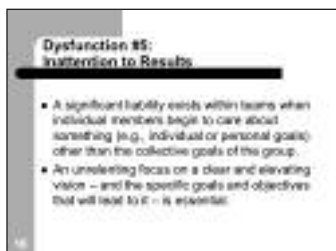
Let's talk about accountability for a few minutes. As you know, one of the main reasons to develop a collaborative team is so that everyone can benefit from the resources, skills, and experiences that each individual brings to the table. Teams are capable of having a greater impact than any one individual or agency could produce by working in isolation.

It makes good sense, then, that if individual team members are not doing what is expected, the team as a whole will not be able to achieve its goals. You have all heard the expression that a chain is only as strong as its weakest link, right? The same is true of collaborative teams. The success and strength of a collaborative team is contingent upon the performance of each of its members.

Unfortunately, team members often struggle with the ability and willingness to hold one another accountable, generally because they do not want to experience the discomfort that comes with challenging a peer on their performance. They might be afraid of creating conflict, or perceive it to be someone else's role, or perhaps they consider confronting a team member to be disrespectful.

In reality, holding someone accountable is a sign of respect. It demonstrates recognition of the critical importance of — and desire for — that person's contribution. And it communicates clear expectations. Accountability is also about maintaining high performance standards, and emphasizes that everyone will be held to the same standards. Holding others accountable also reinforces the hard work of those team members who have been carrying their own loads, and ensures that other team members will not have to assume another's responsibilities unnecessarily. Consequently, accountability prevents resentment and hostility from developing.

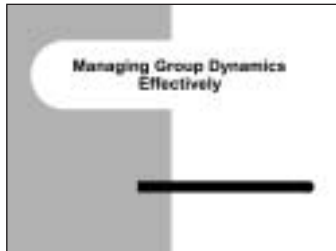
Highly effective teams are willing to monitor themselves and hold themselves accountable for the roles and responsibilities that they have agreed to assume.



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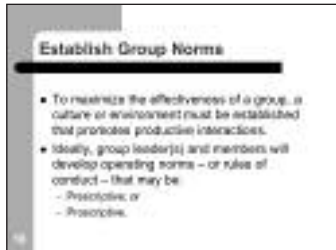
A final dysfunction experienced commonly by teams is an inattention to results. You will recall that one of the characteristics of highly effective teams is the focus on a clear and elevating goal. When teams — or individual members — lose sight of the vision, mission, and goals, or somehow find themselves sidetracked or derailed, the outcome can be disastrous. Unfortunately, it is easy to become distracted by one's own personal, professional, or agency interests which may not reflect the team's collective goals. Ultimately, this

results in a breakdown in the collaborative team, and progress is halted. Teams should routinely remind themselves about the common purpose — and desired results — that brought them to the table in the first place, and ensure that they are performing the specific tasks and engaging in the kinds of processes that will propel them forward.



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We have just outlined some of the specific challenges and difficulties that group dynamics can present. We are going to spend the remainder of our time discussing some strategies to help you manage group dynamics effectively.



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One very simple but fundamental exercise — something we addressed in our first teamwork session — is to establish operating norms that articulate what team members expect from one another in the group. Often teams will resist this because it seems so elementary to establish “rules” for how they are going to work together. But the reality is that, without these ground rules, the dynamics of the group can quickly become unmanageable. When different personalities come together, with different histories and experiences, with different values and philosophies, and with different perceptions and expectations, the result can be chaos unless team members are willing to take the time to establish collectively these simple rules of engagement.



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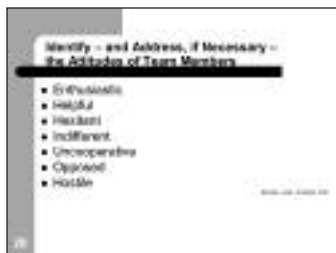
Some examples of the areas that can or should be addressed when developing ground rules include:

- Attendance expectations: Is attendance at every meeting mandatory? Are substitutions allowed? What happens when someone cannot make a meeting?
- Promptness: Since some individuals define promptness differently, what is your team’s definition?
- Conflict is inevitable. How will you manage it?
- Participation: How are you going to ensure that everyone has a chance to be heard?
- How are you going to communicate with one another?
- Is information going to be shared with others outside the group and, if so, under what conditions?
- How are you going to manage assignments?

- What are the rules around taking breaks? Are you going to plan a break mid-session so that everyone can check messages and take care of individual business or should everyone do so as they need to?
- Do you need to rotate certain responsibilities like note-taking or facilitation?
- When and where are you going to have your meetings?
- How will decisions be made? By majority vote? By consensus?

If you talk about these subjects openly, and establish the group's expectations, you can avoid many common misunderstandings that can undermine trust and create negative tension within a group.

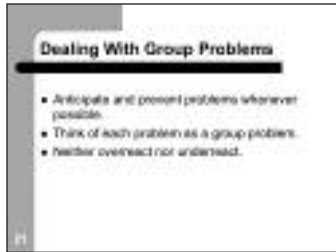
In addition, establishing operating norms allows team members to hold one another mutually accountable which, as you know, is critical to the success of the team.



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You also need to identify and address, if necessary, the range of attitudes held by team members, because these attitudes have a positive or negative impact on the overall dynamics within the group. There will be some members who are enthusiastic, and will work hard to make things happen all of the time. Then there will be those who may be hesitant — they may have some reservations, and probably will not volunteer to help, but will probably come through if asked. Still others on your team will seem indifferent — they won't seem particularly eager to help the process, but they won't actively attempt to harm the process either. And at the extreme end of the continuum, there may be a team member who is opposed to the process, and who openly disagrees with the rest of the team. Or there may be a hostile team member who actively blocks the progress of the group at all costs.

For those members who are positive influences on the group dynamics, it is critical that you reward and reinforce their behaviors, and hope that their attitude rubs off on others. And for the individual or individuals on the team that create negative dynamics, they must be addressed. It is not enough to just be aware of the problem behavior. You have to address the behavior. This is an aspect of mutual accountability.



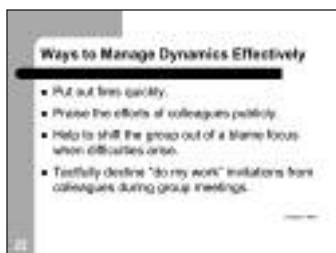
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So, how do you manage some of these difficult dynamics? One way is to try and anticipate potential problems and consider preventative strategies.

For example, you may be aware of a topic on the agenda that is associated with some significant historical conflict for a couple of the team members. It may be helpful to speak with these persons individually prior to the meeting, acknowledge your awareness of the history, and respectfully request that they set the “bad blood” aside for the good of the group as a whole. You may also choose to make a similar comment and request in the presence of the entire team, so that if others on the team have similar historical conflicts, there is now a clear expectation to move beyond these old battles and focus on the “here and now” — the common goals of the group.

Another effective strategy is to prevent problems from becoming individualized or focused on a particular person or agency. Instead, encourage the group to think of each problem as a group problem that requires a group solution, so that scapegoating does not occur.

And finally, don’t underreact to a concern when it develops, or pretend that a problem does not exist. Conversely, do not make a problem worse by overreacting. In general, the best initial response to problem dynamics or behaviors within the team is to choose the least intrusive, least threatening, and least disruptive approach.



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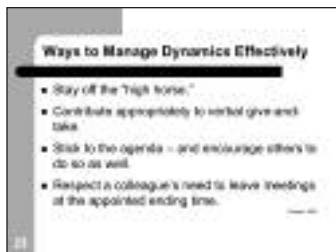
Another tip: Put out fires quickly. When problems are raised and not addressed, they can quickly become a drain on the team’s energy. They can cause people to lose interest, and the problems can become bigger and bigger. Address problems as they arise and move forward.

Publicly praise the good work of your colleagues. We all know that people like to be recognized and rewarded for their efforts. This is a simple act which goes a long way toward fostering good will, cohesion, and commitment, and it models a dynamic that you will want to see repeated by others.

As we discussed earlier, encourage your team to own all problems and to work on finding solutions as a group, rather than concern themselves with assigning blame or scapegoating individuals.

Do not allow a dynamic to develop where individuals pass off their work to others. Everyone is busy and has other commitments.

Usually, there is someone who is very skilled at getting others to take over their assignments for them, and often, there is someone on your team who will willingly volunteer to take on more work than is equitable. Tactfully decline invitations to do the work of other team members, and intervene when you see others falling prey to this dynamic. Individual accountability is essential to the success of the team. If you allow members to shirk their responsibilities, you will be facilitating, on some level, their disengagement from their commitment to the team. You will want to encourage and support them in doing the work, but not let others do the work for them.



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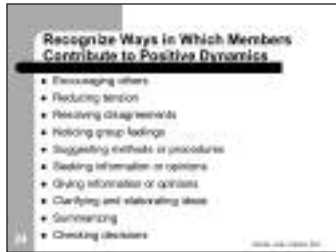
Here are some additional strategies for managing group dynamics:

Stay off the “high horse.” There are pretty rigid hierarchies in our culture: hierarchies of education, wealth, position. The criminal justice system has its own hierarchies, too, such as rank or position within agencies, or elected versus politically-appointed versus career staff. When these dynamics do come into play in groups, they can have a very negative impact, and can cause significant mistrust, resentment, or withdrawal among other team members. Make sure that you — and others — stay off the “high horse” and ensure that everyone on the team is viewed and treated as an equal partner.

In addition, make sure that everybody is an active participant in the group’s discussions. Each person should have a voice, and should be expected to contribute to the “give and take” of the conversations. Do not allow certain members to monopolize the group discussions, or others to sit in silence consistently. The team benefits when everyone is participating equally.

Finally, the following are some very simple but very important strategies for working together effectively:

- Make sure you have an agenda for each meeting and stick to it.
- Ask for estimates on how long agenda items are likely to take before the meeting starts, and use them to manage the meeting.
- If you are getting close to the end of the estimated time, bring the item to a close or get a consensus that the item needs more time and adjust the agenda accordingly.
- It is very important to begin and end meetings on time. If you don’t, you will find that people feel disrespected and the group dynamics will suffer from the tension and hostility that this produces.

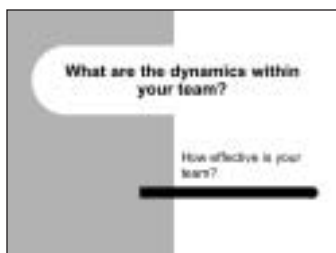


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Often, when dealing with group dynamics, we tend to focus our efforts on those few individuals or interactions that create negative dynamics. However, as I mentioned a few minutes ago, it is very important to notice and recognize team members who contribute to positive dynamics on a team. We need to spend time reinforcing attitudes and behaviors that are good for the team, because the more that you reinforce a behavior, the more likely it is to be repeated.

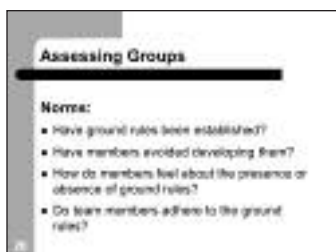
For example, look for those individuals who routinely provide encouragement and support to others, or those who work hard to resolve disagreements when they arise. Identify those members on your team who are open to new ideas, and who actively seek opinions or information from others, or who are willing to provide necessary information to others. There are likely people on your team who are particularly skilled at providing clarifying comments or asking clarifying questions, and those that are masterful when it comes to summarizing or synthesizing perspectives, ideas, or discussions.

If your goal is to have a highly functioning team, then you must take the time to look for the types of behaviors that promote a positive climate for the group. And when you see them, note them and reward them, because they are the very behaviors that will help to foster cohesiveness, trust, and a collaborative spirit.



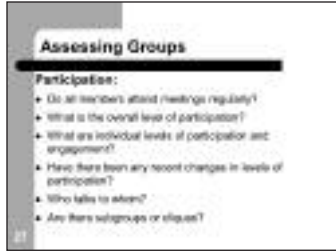
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Now that we have reviewed a number of dynamics that can have both positive and negative impacts on group functioning, in your next teamwork session we are going to ask you to think about the dynamics on your team.



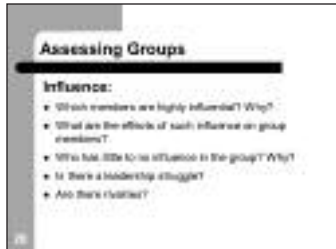
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To assess your dynamics, you will first want to think about operating norms. Have ground rules been established? If so, how have team members responded to them? Are they being followed? If not, are team members challenging each other to adhere to the ground rules?



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Then examine participation within your team. What is the level of participation in your group, individually and collectively? Has it been consistent over time or does it change? Are there individuals who tend to dominate and others who remain quiet? How do you address individuals who are inconsistent in their attendance?

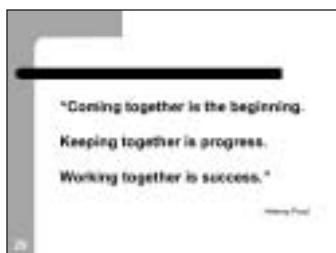


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Look also at the various levels of influence among your team members. Are there individuals who seem to have all of the authority in the group and others who appear to have no say about what takes place? Or is authority fairly evenly distributed? Are there turf issues or rivalries that need to be addressed?

We will also ask you to review the stages of group development — both in terms of the task functions (orientation, organization, data flow, and problem-solving) and process functions (forming, storming, norming, and performing) — and consider where your group falls within these stages.

Overall, we would like you to think carefully about where you are as a team and identify any dynamics that are helping your group to move forward, and give some thought to any negative dynamics that are interfering with your ability to make progress.



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As you think about the challenging dynamics involved in teamwork, keep in mind the thoughts of one of our society's most influential innovators and businessmen:
Coming together is the beginning.
Keeping together is progress.
Working together, or collaborating, is success.

TEAMWORK EXERCISE DETAILS

Introduction to Teamwork Exercise 6

Teamwork Exercise 6 introduces teams to tools that help assess some of the group dynamics that will have an impact on their collaborative efforts.

Following the plenary session, the moderator briefly summarizes the plenary session's key points and introduces the teamwork exercise, then dismisses teams and their facilitators to their breakout rooms to complete the exercise.

Teamwork Exercise Instructions for Facilitators

Exercise Purpose

The purpose of this session is twofold. The first part addresses the team's dynamics in terms of both process and task functions. The second part explores the effectiveness of the team's current collaboration.

Exercise Goals

The facilitator ensures that participants understand the goals of this exercise, which are to:

- Complete a self-assessment and a group assessment of the team's process and task functions; and
- Further diagnose the team's strengths and identify action items that will result in a more effective collaborative team in the long run.

Exercise Instructions for Part 1

The facilitator leads participants through the following instructions for the first part of the exercise, which takes approximately 30 minutes:

1. Using the graph included in the exercise and working individually, each team member draws two dots on the graph (one on the x axis and one on the y axis) to reflect his or her assessment of the level at which the team is functioning in both task and process functions. Each team member draws a dot on the graph that connects the position of the dots on the two axes. Team members should use the following definitions to guide their responses:

Task Functions

- a. *Orientation:* During this phase, the group spends a majority of its time getting oriented to information about the subject at hand. The group works to understand its environment.
- b. *Organization:* Based on the information collected in the previous phase, the group organizes itself to accomplish its work. The group requests data for specific subcommittee work. By this point, the group is clear on its values, vision, mission, goals, and objectives.
- c. *Data flow:* During this phase, the group uses the data acquired during the previous phase to gain insight into the problems they are addressing.

- d. *Problem solving*: During this phase, the group spends most of its time looking at problem-solving options, prioritizing those options, setting up interventions, and monitoring their impact.

Process Functions

- a. *Forming*: The first stage of group development is forming. Groups usually start in the forming stage. There is often much confusion, ambiguity, and anxiety during this stage. The major issue that groups face is who should or should not be included in the group.
- b. *Storming*: This is the stage in which groups must confront issues of leadership, order, and control. This stage is often characterized by conflict.
- c. *Norming*: This stage involves negotiating members' roles and setting group goals. Members begin to trust one another. Setting norms, defining roles, and deciding who is performing which tasks become major areas of emphasis. Openness among group members is essential. Once members gain one another's trust, the group can move to the next stage.
- d. *Performing*: This is the stage during which the group's identity is established and its real work is accomplished.
2. Draw a similar chart on flipchart paper and place each team member's response on the graph to demonstrate how each member's score compares with the rest of the team.
 3. Through discussion, guide the team to consensus on the stage of the team on both the task and process dimensions.
 4. As a group, ask team members to answer the following questions:
 - What can the team do to further develop the group? List suggestions for both process and task functions.
 - What new work should be added to the team's workplan as a result of this discussion?

Exercise Instructions for Part 2

The facilitator leads team members through the following instructions for the second part of the exercise for the remainder of the session.

1. Direct team members to the section of the exercise entitled *The Eight Characteristics of Highly Effective Teams: A Checklist*.
2. Instruct team members to review the narrative under each characteristic.
3. Discuss as a group the effectiveness of the team relative to each characteristic. As needed, engage in group problem solving and work planning to address any gaps or weaknesses the team identifies.

TEAMWORK EXERCISE 6

WHAT INFLUENCES DO OUR GROUP'S DYNAMICS HAVE ON OUR WORK AS A TEAM?

Day, Date

10:20 a.m. — 11:50 a.m.

Purpose

The purpose of this session is twofold. The first part addresses your team's dynamics, in terms of both your process and task functions. The second part explores the effectiveness of your current collaboration.

Goals

The goals of this session are to:

- Complete a self-assessment and a group assessment of your team's group development; and
- Further diagnose the team's strengths and identify action items that will result in a more effective collaborative team in the long run.

Instructions for Part 1

Allow no more than 30 minutes to complete Part 1 of this exercise.

1. During this part of the session, turn to the graph on the following page of this exercise.
2. Working individually, draw two dots on the attached graph (one on the x axis and one on the y axis) to reflect your assessment of the level at which you believe your team is functioning in both task and process functions. Then draw a dot in the graph that connects the position of the dots on the two axes. Use the following definitions to guide your responses:

Task Functions

- **Orientation:** During this phase, the group spends a majority of its time getting oriented to information about the subject at hand. The group works to understand its environment.
- **Organization:** Based on the information collected in the previous phase, the group organizes itself to accomplish its work. The group requests data for specific subcommittee work. By this point, the group is clear on its values, vision, mission, goals, and objectives.
- **Data flow:** During this phase, the group uses the data acquired during the previous phase to gain insight into the problems they are addressing.

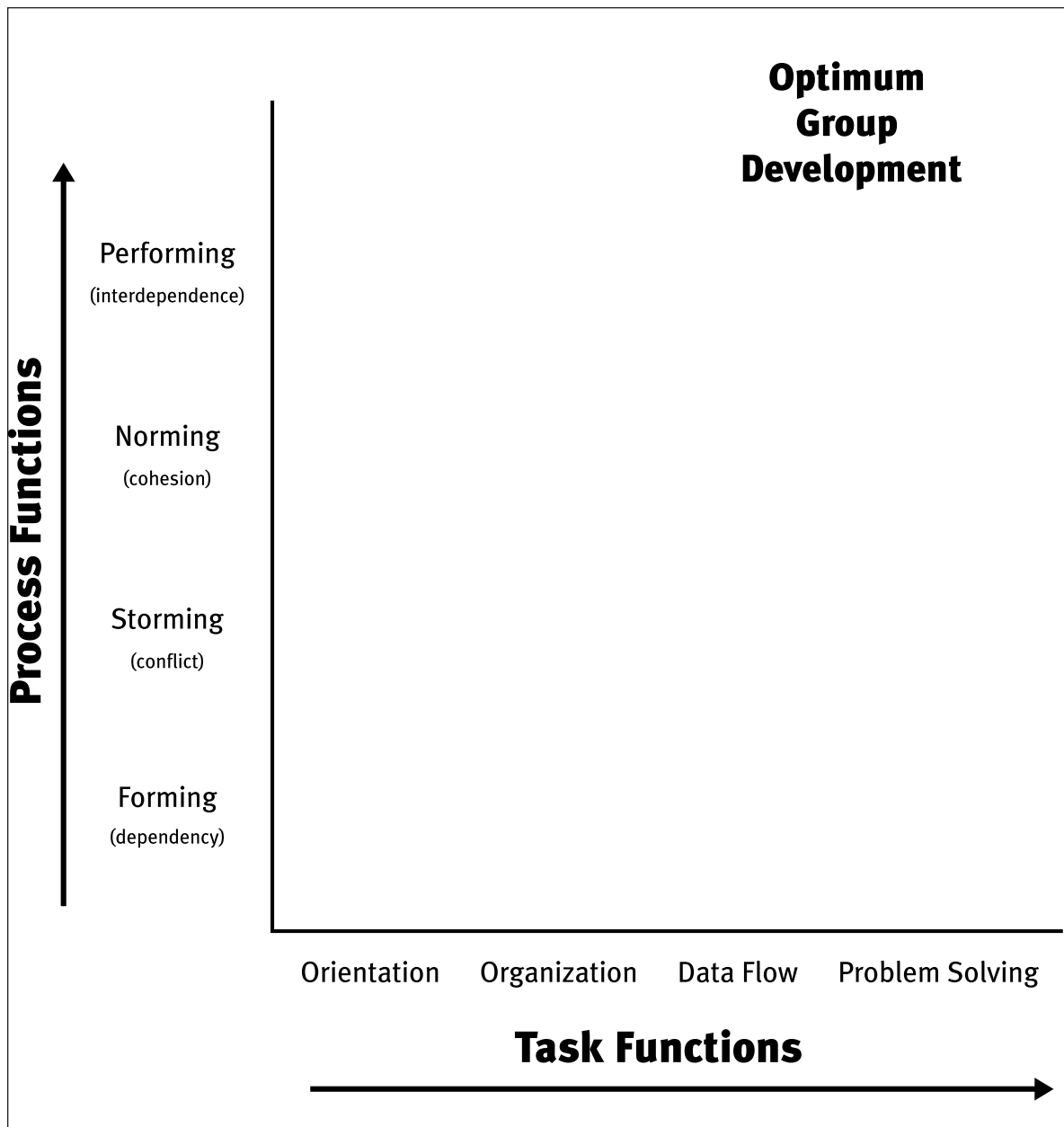
- **Problem solving:** During this phase, the group spends most of its time looking at problem-solving options, prioritizing those options, setting up interventions, and monitoring their impact.

Process Functions

- **Forming:** The first stage of group development is forming. Groups usually start in the forming stage. There is often much confusion, ambiguity, and anxiety during this stage. The major issue that groups face is who should or should not be included in the group.
- **Storming:** This is the stage in which groups must confront issues of leadership, order, and control. This stage is often characterized by conflict.
- **Norming:** This stage involves negotiating members' roles and setting group goals. Members begin to trust one another. Setting norms, defining roles, and deciding who is performing which tasks become major areas of emphasis. Openness among group members is essential. Once members gain one another's trust, the group can move to the next stage.
- **Performing:** This is the stage during which the group's identity is established and its real work is accomplished.

A group must progress through all four of these stages on both the task and process dimensions to be truly effective.

3. Your facilitator will draw a similar chart on flipchart paper and place each team member's response on the graph to demonstrate how each member's score compares with the rest of the team.
4. Next, as a team, come to consensus on the stage of your team in both the task and process dimensions. Consider the implications of your findings and whether specific steps need to be taken to improve the group's effectiveness.



Adapted by the Center for Effective Public Policy from concepts in *Group Development Assessment*, by John E. Jones and William L. Bearley. 2001 Organizational Design and Development, Inc.

INSTRUCTIONS FOR PART 2

Use the remainder of the session to complete Part 2 of the exercise.

1. Attached to this exercise is a document entitled *The Eight Characteristics of Highly Effective Teams: A Checklist*, which has been adapted from Larson and LaFasto's research on teams. Using this checklist, evaluate the effectiveness of your team. Do so by reviewing the narrative under each characteristic, then discussing, as a group, the effectiveness of your team relative to each characteristic. As needed, engage in group problem solving and work planning to address any gaps or weaknesses you identify.

THE EIGHT CHARACTERISTICS OF HIGHLY EFFECTIVE TEAMS: A CHECKLIST

A CLEAR AND ELEVATING GOAL (VISION)

High performance teams have both a clear understanding of the goal to be achieved and a belief that the goal embodies a worthwhile or important result; teams with a ‘clear and elevating goal’ understand that whether the team succeeds clearly makes a difference.

↘ **How clear and elevating is our team’s goal (vision)?**

RESULTS-DRIVEN STRUCTURE

The importance of structure is not in its presence or absence. More important is whether a structure is in place that is appropriate for the achievement of the performance objectives. To be successful, a team’s structure should be designed around the results to be achieved.

There are three kinds of teams:

- *Problem resolution teams* — are established to resolve problems on an ongoing basis. Their most necessary feature is trust; members must believe in the integrity of their colleagues and feel secure in an atmosphere of collegiality and respect.
- *Creative teams* — are established to innovate. Their necessary feature is autonomy from systems and procedures. In other words, they must have the latitude to explore new possibilities and alternatives, be willing and able to abandon normative thinking, and serve as the incubator for new ideas.
- *Tactical teams* — are established to execute a well-defined plan. Their most essential feature is clarity in task and an unambiguous role in the carrying out of the plan.

There are four necessary features to team structure:

- *Clear roles and accountabilities* — each member’s relationship to the team is defined in terms of the role to be assumed and the results the role is to produce;
- *An effective communication system* — opportunities for team members to discuss team issues in a relaxed environment (social and informal interaction opportunities) are essential; methods for documenting issues raised and decisions made are important as well;
- *Monitoring performance and providing feedback* — establishing systems of checks and balances to assure performance meets expectations is a must; and
- *Fact-based judgments* — objective and factual data should be the basis of the team’s sound decision-making.

↘ **Do we have in place a results-driven structure?**

COMPETENT TEAM MEMBERS

Competency is defined as the necessary skills and abilities to achieve the desired objective (technical competencies) and the personal characteristics required to achieve excellence while working well with others (personal competencies).

- Technical competencies are minimal requirements of any team. They include substantive knowledge, skills, and abilities related to the specific tasks to be accomplished.
- Personal competencies refer to the qualities, skills, and abilities necessary for individual team members to identify, address, and resolve issues.

There are three common features of competent team members:

- The essential skills and abilities to conduct the work;
- A strong desire to contribute; and
- The capacity to collaborate effectively.

↘ **Do our team members meet these criteria?**

UNIFIED COMMITMENT

A unified commitment is best characterized by “team spirit,” or a sense of loyalty and dedication to the team. It is often exhibited by an unrestrained sense of excitement and enthusiasm for the team and its work; a willingness to do anything that has to be done to help the team succeed; and an intense identification with the people who are on the team.

There are two significant features of this characteristic:

- *Commitment to the effort* — teams do not excel without significant investment of individual time and energy; and
- *Unity* — group spirit and teamwork are indispensable to superior performance.

↘ **Do we have a unified commitment?**

COLLABORATIVE CLIMATE

A collaborative climate is most commonly described in the adage, “The whole is greater than the sum of its parts.” Teams operating in a truly collaborative climate work well together; and trust is a mainstay virtue.

Trust is produced in a climate that includes three elements:

- Honesty (i.e., integrity and truthfulness, absent exaggeration);
- Consistency (i.e., predictable behavior and responses); and
- Respect (i.e., treating people with dignity and fairness).

↘ **Is our climate collaborative?**

STANDARDS OF EXCELLENCE

Standards define those expectations that eventually determine the level of performance a team deems acceptable. Standards determine the type of technical competency required, the amount of initiative and effort required, how people are expected to behave with one another, how firm the deadlines are, and how the results will be achieved. Ultimately, standards dictate the rewards for success and the consequences for failure.

Pressure to perform can come from a variety of sources:

- Individual standards;
- Team pressure;
- The consequences of success or failure (reaching the clear and elevating goal/vision);
- External pressure; and
- The team leader.

Three variables are integral to establishing and sustaining standards of excellence. They are the extent to which:

- Standards are clearly and concretely articulated;
- Team members require one another to perform according to the established standards of excellence; and
- A team exerts pressure on itself to improve.

↘ **Do we have clear standards of excellence?**

EXTERNAL SUPPORT AND RECOGNITION

External support and recognition is measured by the extent to which those individuals and agencies outside the team who are capable of contributing to the team's success acknowledge and support the work of the team. (Interestingly, the external support and recognition factor seems to be more an effect of team success than a cause of it. It is noted more for its absence in poorly functioning teams than its presence in highly effective teams.)

↘ **Do we have (and need) external support and recognition?**

PRINCIPLED LEADERSHIP

Leadership can add tremendous value to any collaborative endeavor, even to the point of sparking the outcome with an intangible kind of magic. Effective leaders draw together the team's vision, a belief in the opportunity for change, and the ability to meaningfully involve others.

Effective leaders:

- Establish a vision of the future;
- Enlist others to embrace the vision;
- Create change; and
- Unleash the energy and talent of contributing members.

↘ **Do we have principled leadership?**

Adapted from concepts in *TeamWork: What Must Go Right/What Can Go Wrong* (1989), by Carl E. Larson and Frank M. LaFasto, (Newbury Park, CA: Sage Publications).

MODULE RESOURCES

Literature Resources

Bennis, Warren G. (1994). *On Becoming a Leader* (2nd ed.). Reading, MA: Perseus Books.

Bennis, Warren G. (2000). *Managing the Dream: Reflections on Leadership and Change*. Cambridge, MA: Perseus Books.

Doyle, Michael, and David Straus (1993). *How to Make Meetings Work: The New Interaction Method*. New York: Berkley Books.

Jones, John E., and William Bearley (2001). *Group Development Assessment*. Organizational Design and Development, Inc.

Lencioni, Patrick (2002). *The Five Dysfunctions of a Team*. San Francisco: Jossey-Bass.

Schein, Edgar H. (1988). *Process Consultation: Volume I: Its Role in Organization Development* (2nd ed.). Addison-Wesley Organization Development Series. Reading, MA: Addison-Wesley Publishing Company.

Schein, Edgar H. (1997). *Organizational Culture and Leadership* (2nd ed.). Jossey-Bass Business & Management Series. San Francisco: Jossey-Bass.

Scholtes, Peter R., Brian L. Joiner, & Barbara J. Streibel (2003). *The Team Handbook* (3rd ed.). Madison, WI: Oriel, Inc.

Toropov, B. (1997). *The Art and Skills of Dealing with People: How to Make Human Motivation Work For You on the Job*. New York: MJF Books.

Endnote

- 1 The original version of this presentation was developed by William Woodward as part of grant SJI-99-N-039, “National Resource Center on Collaboration in the Criminal and Juvenile Justice Systems,” by the State Justice Institute to the Center for Effective Public Policy, and was revised by Dr. Kurt Bumby in 2004. Mr. Woodward is on the faculty of the Center for the Study and Prevention of Violence, University of Colorado at Boulder. Dr. Bumby is a Senior Manager at the Center for Effective Public Policy.

Module

8

Team and Project Lifecycles

MODULE CHECKLIST

Please use the following checklist to ensure that your presentation of Module 8 is complete.

Module Structure

Module Duration

- 1 hour and 30 minutes.

Module Topics

- Plenary session: Team and Project Lifecycles (20 minutes).
- Teamwork Exercise 7: Where Are We in Our Lifecycle? (1 hour and 10 minutes).

Module Instructions

Equipment and Materials

- A computer with an LCD projector and a projection screen.
- PowerPoint® slide presentation F.
- A flipchart, markers, and masking tape.
- If an LCD projector is not available, transparencies of presentation F and an overhead projector.

Faculty Roles

- The moderator** introduces the plenary session presenter, dismisses participants to their breakout rooms and ensures that the agenda time limits are maintained.
- The plenary presenter** introduces the plenary topic and content and the teamwork session using the plenary guide and script for this module.
- Team facilitators** instruct the teams on the mechanics of the teamwork exercise and facilitate the teamwork session.
- Support staff** monitor the plenary and breakout rooms, and ensure equipment is set up and functioning properly.

Tips for a Successful Module

- Team facilitators assist the teams in selecting one of the four lifecycle stages on which to work. It may take time for a group to reach consensus. If this becomes too time consuming, the team facilitator should help the group select a stage for the purposes of this teamwork session — and encourage them to work further on this topic when they return home.

Module Content

Key Points

- Discuss the concept of “ideas in good currency.”
- Introduce the four stages of a team or project lifecycle: “latency,” “growth,” “peak,” and “decline or institutionalization.”
- Explain the manner in which the lifecycle progresses.

Teamwork Exercise:

- Reflect on the team's or project's current stage.
- Understand how the current stage fits into the model of a team or project lifecycle.
- Understand how the current stage translates into options for the future.
- Flesh out and prioritize options for when the team returns home.

MODULE EXPLANATION

Purpose

Module 8 provides participants with the vocabulary and conceptual framework to discuss where their team and project are in their lifecycles, identify barriers and opportunities for the team and the project, and determine some of the team's next steps. This is also an opportunity for teams to identify and celebrate their successes thus far. The purposes of Module 8 are to:

- Define the concept of team and project lifecycles; and
- Assist teams to identify their project lifecycle stages, and the barriers, opportunities, and successes associated with these stages.

SAMPLE SCRIPT

Team and Project Lifecycles (Presentation F)¹

The italicized text are instructions for the presenter.



Display Slide F-1

Teams and projects go through various “lifecycles.” This presentation will identify and discuss each of these lifecycles and highlight their various implications. Following the presentation, each team will have the opportunity to work through a teamwork exercise designed to help you determine which lifecycle stage your project is in.

You’re probably familiar with the phrase, “ideas in good currency.” Ideas in good currency often drive projects—meaning these ideas may initiate a new project (the example of drug courts comes to mind) and funding often follows. You’ve probably experienced this before: Certain ideas seem to magically attract resources! It is not uncommon for such a thing to happen with “ideas in good currency.”



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I want to expand everyone’s thinking about the mission of an effort. A public organization cannot simply state its mission. Having a good mission by itself is not sufficient. We must also earn the respect of those who support us — and demonstrate the value of our efforts. Certainly this is true with the types of projects you are working on now.

For the next few minutes, I want to talk about the progression of projects through various stages, as well as the notion that ideas in good currency can significantly affect the funding of your efforts.

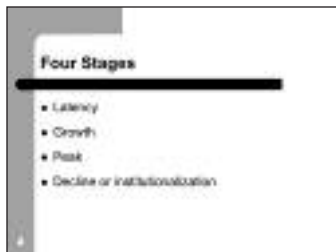


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What do I mean by an idea in good currency? As an example, how many of you remember when electricity shortages were a big news item? Did you notice a significant increase in the advertisements for energy-saving appliances? Do you think this is a coincidence? Probably not. Rather, the energy-saving appliances are an example of an idea in good currency, particularly as they are tied to a problem we were facing in the country. Another example is drug courts. Certainly drug courts have been and continue to be an idea in good currency.

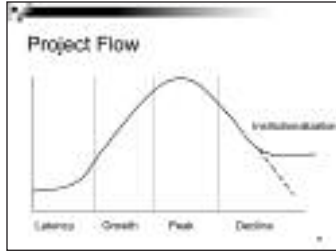
You may be wondering how ideas in good currency affect your work. Does anyone have any ideas?

Ideas in good currency can affect your work in two significant ways. First, if your concept is an idea in good currency, you will likely have success when you seek support for it. If your idea is not one that is in good currency — this does not mean it is a bad idea — you must recognize that you are competing for the time, attention, and resources that are focused on those ideas that are in good currency.



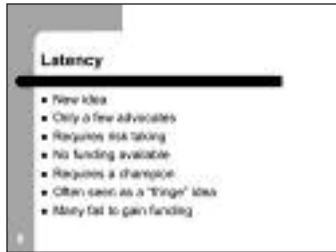
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There are four stages to a project’s lifecycle: latency, growth, peak, and either decline or institutionalization.



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These project stages flow in an expected direction: The project begins in a latent period, then moves through a growth period. The project then reaches a peak. Following that stage, one of two things happen: either the team or project is institutionalized or it declines.



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Let's talk about each of the stages.

In the first stage, latency, a project is often based on a new idea. Usually, it has only a few advocates. The group managing the project may have to take many risks because others are not aware of, or clear about, the purpose or intent of the effort. The project may be seen as “on the fringe” — either something that is happening outside of all the other activities or something unique that the “progressive” judge down the hall has dreamed up. During the latency stage, you will probably be able to determine whether yours is an idea in good currency.

Every project that is represented in this room has obtained at least some level of support and is (or has been or will continue to be) an idea in good currency. However, many projects fail to gain support because they do not become an idea in good currency. How many projects have you seen in your own community that try to accomplish their work but never seem to get the support they need to get off the ground?

If your project is in the latency phase, consider whether your idea is in good currency or how it can be tied to one that is.

Projects that are in the latency phase have the following characteristics:

- They represent new ideas.
- They only have a few advocates.
- They may require risk taking to get them off the ground.
- Funding is probably not available.
- Champions are often needed to push the ideas forward.
- They may be construed as being “fringe” ideas.



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In the growth stage, the project or team goes through rapid change. A large number of people are often involved. The project or team may get a lot of attention — it may be a standing topic on an agency’s staff meeting agenda or it may attract media attention (as in the two examples I cited earlier). Suddenly, resources begin to materialize, but often there is more excitement about the idea than there are resources. Although everyone seems to be talking about this idea, at this stage, adequate resources have probably not been committed to address the problem. As a result, it is likely that no decisions have been made about how to solve the problem.

A project in the growth stage often has the following characteristics:

- Change may occur rapidly.
- A large number of people become involved.
- The effort attracts a lot of attention, potentially even from the media.
- Although only a few resources have become available at this stage, the idea has generated much excitement.

Chaos is often the hallmark of this stage of project development. Typically during this stage, those who are interested in the problem have varying ideas about how to address it. You may find that everyone is headed in different directions. This is why the collaborative team is so important. Through the work of the team, you can capitalize on the momentum and energy surrounding the idea, harness it, and move forward. Remember our earlier work on mission development and goal setting? Recognizing the chaos involved with a new project, you can appreciate how important it is to get everyone moving in the same direction. This mission statement is one way to begin achieving this.



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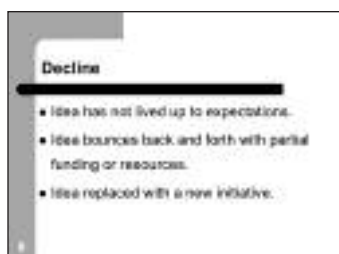
In the peak stage of the project, the idea and its funding have reached maturation. Interest in and concern about the idea have arrived at a plateau. The interest of the public and the attention of policymakers and the media are no longer increasing, but they are not diminishing either. The problem, therefore, may still dominate policy discussions during this stage.

The project continues to draw from the resources with which it began. But those resources may be “leveling off.” As the project is peaking, the people who are involved often are “resting” because they feel there is not much more work to be done. During this phase, the team is the most confident about the project and believes the idea in good currency

will last indefinitely. This, however, may not be the optimal time to secure future resources.

A project in the peak phase may be distinguished by these characteristics:

- The idea and its funding have reached maturation.
- Interest “levels off” and some concerns arise.
- The interest of the public, policymakers, and the media begins to wane, although the project may still dominate policy discussions.
- The idea or problem continues to draw resources, but these may be leveling off as well.



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Following the peak stage, projects either decline or institutionalize.

In the decline stage, team or project advocates may not be aware that people are working against their idea — either because there are other ideas in good currency or a declining level of interest in the particular project.

During this stage, funding and resources decrease, and the project or team may likely be replaced with a new initiative.

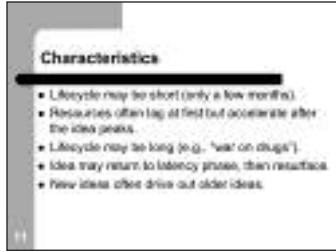


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If the project or team does not decline, it becomes institutionalized. The idea obtains secure funding and acceptance for the long term. There may, however, be variations on this. For example, part of the project may decline while another part becomes institutionalized. This may be the case in a program that sustains one unit or component but closes another.

One challenge during this stage is that the burden of the idea or project often shifts to one or two persons — the “champion(s).” Interest in collaboration may wane as team members feel the project will decline or, alternatively, carry on without them.

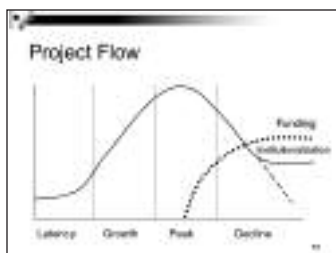
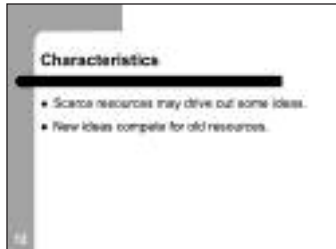
But even projects and teams that are institutionalized require tending. Consider a garden. You may think a garden is established (institutionalized) in your backyard, but there is always a threat to its security — pests, disease, and lack of nutrients. In a way, institutionalization is one of the most dangerous times for projects and teams because their continual need for sustenance may not be inherently obvious.



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In summary, here are some of the key characteristics of project lifecycles:

- A lifecycle may be as short as a few months or as long as it takes to solve or at least effectively address the original problem.
- Resources may lag at the beginning stages of a new lifecycle.
- A project may revert to an earlier stage and then rebound.
- A new idea may be driven out by an older, more accepted idea; by scarce resources; or by a new idea in good currency.
- Resources are generally finite, therefore, all ideas are competing for the same resources.



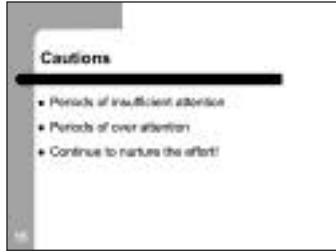
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As I mentioned a moment ago, resources often lag at first and then increase after an idea reaches its peak. This graph illustrates the magnitude and trajectory of a typical project's lifecycle — in terms of both momentum and funding support.



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A few additional thoughts on project lifecycles. The growth or decline of an idea may differ by geography. An idea may be in different stages depending upon the jurisdiction you are in. *(The presenter may add a personal note, citing an idea in good currency in his or her own jurisdiction, and indicate the fact that this may not be an idea in good currency in the participants' jurisdictions.)* An idea or project will depend on other ideas in good currency and possibly on other sources of funding. Keep in mind that different parts of the project may be at different stages — one part may be in the latency stage or even declining — while another part is institutionalized.



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And finally, a few words of caution: Projects will suffer from periods of inattention. Don't let the periods of overattention fool you. You must continually nurture your project and your team, even (and especially) if you succeed in institutionalizing it.



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In summary:

- All projects can be placed on a lifecycle. So, too, can all teams.
- The placement on that lifecycle may explain certain conditions surrounding your project.
- Determining where your project is on the lifecycle can help you determine what work lies ahead.

During the next teamwork exercise, you will be asked to apply this idea of lifecycles to your own project.

During the exercise, each team is asked to identify its current stage. Each stage has a different exercise. But it is critically important that, even if you do not all completely agree on the stage your group or project is currently in, you should come to a consensus on the stage that you think would be the most useful to work on today, with the understanding that you will continue to work on other aspects of the project — which may be at different stages — when you return to your jurisdictions.

TEAMWORK EXERCISE DETAILS

Introduction to Teamwork Exercise 7

Teamwork Exercise 7 introduces teams to tools that help assess stages in a team’s lifecycle and assist in planning strategies to improve the team’s collaborative efforts.

Teamwork Exercise Instructions for Facilitators

Exercise Purpose

During the plenary session presentation, team members listened to an overview of the lifecycles of teams and projects. The material emphasized the importance of “ideas in good currency.” It is critically important that members understand how their team’s work fits into those ideas in good currency.

The purpose of this exercise is to help teams assess their current state in the lifecycle of projects and begin planning a strategy to improve or enhance their current work.

Exercise Goals

The facilitator ensures that the participants understand the goals of this exercise, which are to:

- Reflect on the team’s current stage;
- Understand how the team’s current stage fits into the model of project lifecycles;
- Understand how the team’s current stage translates into options for the future; and
- Flush out and prioritize options for when the team returns home.

Exercise Instructions for the Team/Project Lifecycle

If the team has not completed Teamwork Exercise 3 on problem identification and mission statement development, it is strongly recommended that the team complete that exercise before beginning this one.

The facilitator assists the team in selecting one of the four lifecycle stages on which to work. It may take the group time to reach a consensus. If this becomes too time consuming, the team facilitator should help the group select a stage for this teamwork exercise only — and encourage them to continue to work on this exercise when they return home.

The facilitator leads the team through the following instructions:

1. As a team, discuss and, if possible, come to a consensus on the team’s current place in the lifecycle. If the team cannot come to a consensus, identify the place on the lifecycle on which most members can agree with qualifiers such as “our preliminary decision is ...” or “at this time we appear to be” If the group cannot come to a consensus, ask the minority, for the purposes of this exercise, to accept the majority’s opinion of where the team is on the lifecycle. However, if those in the minority prefer to use their lifecycle stage choice, they can form a second group (or a third group if needed) to work through for this exercise.

2. Please note that the team and the project may be at different stages in their lifecycles. Even the team's subcommittees may be at different lifecycle stages. For example, a team that has been in place for years may adopt a new project. In this situation, the project may be in the latency phase and the team may be in the institutionalization phase. If this is the case for your team, try to select the stage that is most relevant for your team at this time.
3. Select one stage on the lifecycle and begin the accompanying exercise. In all likelihood, the team will not be able to finish this exercise in the allotted time. It is strongly recommended that the team complete this work at home.

A. **Latency:** This is where the idea starts. At this stage, the team is just beginning with an idea, and possibly gaining momentum. It is advisable to begin researching funding sources and attempt to obtain financial support at this early stage, rather than later in the process.

If the team is at this stage in the lifecycle, do the following:

1. Using a round robin process to assure that all team members have the chance to participate, make two complete lists, one of the team's current strengths, the other of current weaknesses. The purpose of this exercise is to develop an exhaustive list as quickly as possible.
2. Again, using a round robin process, make two complete lists, this time of the team's current opportunities and the current threats to the team and its work.
3. Prioritize the top three strengths and discuss ways to increase each one.
4. Prioritize the top three weaknesses and discuss ways to lessen each one.
5. Identify the top three opportunities and develop a plan to capitalize on each one.
6. Identify the top three threats and develop a plan to counter each one.

B. **Growth:** During this stage, the team's work is beginning to attract a lot of attention. The team may be writing a grant, taking its message to the legislature, or talking with potential funding groups. The team's idea is in demand. The team knows people are interested in their concept because they are asking how they can help. The team needs a plan to respond to and capitalize on those offers by getting others on board.

1. List the work tasks that still need to be performed to bring the project to a successful conclusion.
2. Prioritize the three most important work tasks. Team members should vote by checking or placing colored dots next to their top three priorities.
3. Next, develop an action plan for the top three items. Determine what needs to be done to accomplish each work task. Record who will take what action, and include a timeline for each item.

C. **Peak:** During this stage of the lifecycle, the team is beginning to receive significant funding. The team has probably hired staff support. The team's greatest concern at this time is producing what was promised. What quality assurance measures are in place to ensure that the team can actually deliver? The purpose is to demonstrate the project's accountability; the caution here is to ignore your platitudes and push hard to produce outcomes. In the long run, being in the spotlight will not necessarily carry the project into the institutionalization phase.

1. Refer back to the three problem statements prioritized in Teamwork Exercise 3: Identifying the Problems and Developing a Clear Mission. Convert each problem statement into a goal statement, identifying what it is the team hopes to do through its efforts to address each problem.
2. Next, develop at least one performance measure for each goal statement. This measure should be easily quantifiable.
3. Create a chart for each performance measure listing the following:
 - What information must be collected to assess this performance measure.
 - Where the information resides.
 - Who will collect the data.
 - When the data will be collected.

D. **Decline:** The following exercise is appropriate for the team if the team is planning on phasing out the project or the team needs to find additional funding to replace declining resources. The caution is to give extensive and thorough advance warning about the closing out of the project as well as “processing” time for employees to adjust to the phase out.

1. List all necessary closeout activities, including how all the changes will be communicated, a timetable for the changes, explicit reasons for the changes, what the team is doing to place employees in other positions, plans to celebrate what the team has accomplished, and meetings with employees to elicit feedback on these changes.
2. Prioritize these activities.
3. For each closeout activity, develop a plan that includes who will take responsibility for the activity and important milestones or deadlines.

E. **Institutionalization:** During this stage of the lifecycle, the team has a steady source of funding. The team’s champions are in place. The team may notice, however, that the staff and leaders who worked to get the project where it is today are moving on to something else. The team recognizes that if it cannot maintain sufficient energy for the effort, there is a good chance that the work will get stale and the probability of future successes will be lessened. The team faces the question, “How can we maintain the current energy — or regain new energy — for this project and ensure that it continues long into the future? Think of institutionalization as a continuum that can almost always be improved.

1. Do a force field analysis.

Exercise Instructions for the Force Field Analysis

1. A force field analysis is a common technique to identify the “forces” or factors that are working in favor of and against the achievement of a goal.
2. (Direct team members to the force-field analysis worksheet attached to the exercise for instructions on this technique.) Identify one of the goals the team is working toward achieving; if the team has several goals, select the one that is the most problematic. Base the force field analysis on this desired outcome.
3. Draw a force field on a flipchart. Write the goal the team has selected on the right-hand side of the diagram. Ask team members to answer the following two questions:
 - What are the forces that are driving this outcome? Write one of the forces that are supporting or driving the achievement of the goal above each arrow pointing toward the goal.
 - What are the forces that are restraining the project from meeting this outcome? Write one of the forces impeding progress toward the goal above each of the arrows pointing away from the goal.
4. The extent to which the team is achieving its goal can be assessed as the balance of these supporting and restraining factors. The present situation is determined by these opposing forces. If the team can alter the forces, the situation will change. Ask the team to examine the diagram and evaluate those forces that are most notably impeding progress.
 - Which of the restraining force(s) seems to be having the most significant effect?
 - If it were removed, would the situation change enough to enable the team to meet its goal?
 - If so, how can the team remove it? If it cannot be removed, would removal of several other forces provide the desired outcome?
5. Next, ask the team to examine the driving forces.
 - What can be done to increase the power of the driving forces that would offset the restraining forces?
 - Can new driving forces be created to shift the balance?
6. Select the three most potent actions that would shift the balance in favor of achievement of the team’s goal. Discuss and develop an action plan to address each.

TEAMWORK EXERCISE 7

WHERE ARE WE IN OUR LIFECYCLE?

Day, Date

1:20 p.m. — 2:30 p.m.

Purpose

During the plenary session presentation, you heard an overview of material based on the lifecycle of teams and projects. This material emphasized the importance of “ideas in good currency.” It is critically important that you understand how your team’s work fits into those ideas in good currency. It is also necessary to understand that stakeholders—and therefore team members — may change as a project moves through its lifecycle. The purpose of this exercise is to help you assess the current stage in the lifecycle of your project and begin planning a strategy to improve or enhance your current work.

Goals

The goals of this session are to:

- Reflect on your project’s current stage;
- Understand how your current stage fits into the model of project lifecycles;
- Understand how your current stage translates into options for the future; and
- Flesh out and prioritize options for when you return home.

Instructions

1. If you have not completed Teamwork Exercise 3 on problem identification and mission statement development, it is strongly recommended that you complete that exercise before beginning this one.
2. As a team, discuss, and if possible, come to a consensus on your place in the lifecycle (latency, growth, peak, or decline or institutionalization). If you cannot come to a consensus, identify the place on the lifecycle on which most of your teammates can agree with qualifiers such as “our preliminary decision is ...” or “at this time we appear to be” If your group cannot come to a consensus, ask the minority, for the purposes of this exercise, to accept the majority’s opinion of where your team is on the lifecycle. However, if those in the minority prefer to use their lifecycle stage choice, they can form a second group (or third if needed) to work through this exercise.
3. Please note that your team and your project may be at different stages in their lifecycles. Even your team’s subcommittees may be at different lifecycle stages. For example, a team that has been in place for years may adopt a new project. In this situation, the project may be in the latency phase and the team may be in the institutionalization phase. If this is the case for your team, try to select the stage that is most relevant for your team at this time.

4. Select one stage on the lifecycle and begin the accompanying exercise. In all likelihood, you will not be able to finish this exercise in the allotted time. It is strongly recommended that you complete this work at home.

A. Latency: This is where your idea starts. At this stage, your team is just beginning with an idea, and possibly gaining momentum. It is advisable to begin researching funding sources and attempt to obtain financial support at this early stage, rather than later in the process.

If you are at this stage in the lifecycle, do the following:

1. Using a round-robin process to assure that all team members have the chance to participate, make two complete lists, one of your team's current strengths, the other of current weaknesses. The purpose of this exercise is to develop an exhaustive list as quickly as possible.
2. Again, using a round-robin process, make two complete lists, this time of your team's current opportunities and the current threats to the team and its work.
3. Prioritize the top three strengths and discuss ways to increase each one.
4. Prioritize the top three weaknesses and discuss ways to lessen each one.
5. Identify the top three opportunities and develop a plan to capitalize on each one.
6. Identify the top three threats and develop a plan to counter each one.

B. Growth: During this stage, your work is beginning to attract a lot of attention. You may be writing a grant, taking your message to the legislature, or talking with potential funding groups. Your idea is in demand. You know people are interested in your concept because they are asking how they can help. You need a plan to respond and capitalize on those offers by getting others on board.

1. List the work tasks that still need to be performed to bring your project to a successful conclusion.
2. Prioritize the three most important work tasks. Vote by checking or placing colored dots next to your top three priorities.
3. Next, develop an action plan for the top three items. Determine what needs to be done to accomplish each work task. Record who will take what action, and include a timeline for each action.

C. Peak: During this stage of the lifecycle, you are beginning to receive significant funding. You probably have hired support staff. Your greatest concern at this time is producing what you promised. What quality assurance measures are in place to ensure that you can

deliver? The purpose is to demonstrate your project's accountability; the caution here is to ignore your own platitudes and push hard to produce outcomes. In the long run, being in the spotlight will not necessarily carry the project into the institutionalization phase.

1. Refer back to the three problem statements prioritized in Teamwork Exercise 3: Identifying the Problems and Developing a Clear Mission. Convert each problem statement into a goal statement, identifying what it is you hope to do through your efforts to address each problem.
2. Next, develop at least one performance measure for each goal statement. This measure should be easily quantifiable.
3. Create a chart for each performance measure listing the following:
 - What information must be collected to assess this performance measure.
 - Where the information resides.
 - Who will collect the information.
 - When it will be collected.

D. Decline: The following exercise is appropriate for your team if you are planning on phasing out your project or you need to find additional funding to replace declining resources. The caution is to give extensive and thorough advance warning about the closing out of your project as well as “processing” time for employees to adjust to the phase out.

1. List all necessary closeout activities, including how all of the changes will be communicated, a timetable for the changes, explicit reasons for the changes, what you are doing to place employees in other positions, plans to celebrate what you have accomplished, and meetings with employees to elicit feedback on these changes.
2. Prioritize these activities.
3. For each closeout activity, develop a plan that includes who will take responsibility for the activity and important milestones or deadlines.

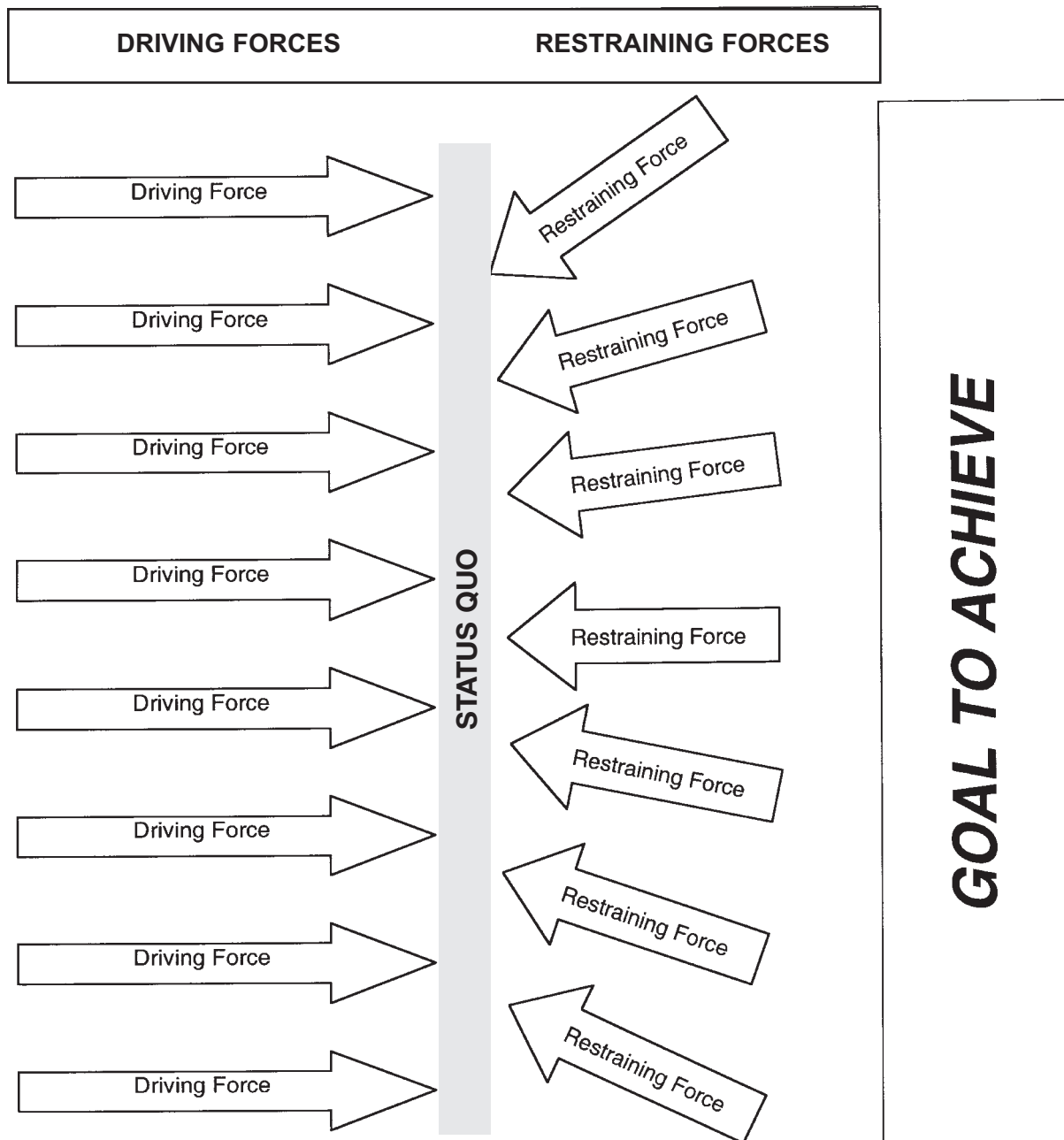
E. Institutionalization: During this stage of the lifecycle, you have a steady source of funding. Your champions are in place. You might notice, however, that your staff and leaders who worked to get the project where it is today are moving on to something else. You recognize that if you cannot maintain sufficient energy for the effort, there is a good chance that the work will get stale and the probability of future successes will be lessened. You face the question, “How can we maintain the current energy — or regain new energy — for this project and ensure that it continues long into the future?” Think of institutionalization as a continuum that can almost always be improved.

1. Do a force field analysis. A force field analysis is a common technique to identify the “forces” or factors that are working in favor of and against the achievement of a goal. (See the attached force-field analysis worksheet for instructions on this technique.) Identify one

of the goals you are working toward achieving; if you have several goals, select the one that is the most problematic. Base the force field analysis on this desired outcome.

2. Draw a force field (following the illustration here) on a flipchart and answer the following two questions: What are the forces that are driving this outcome? What are the forces that are restraining us from reaching our goal?
3. Process the implications for your future work according to the instructions on the attached Force Field Analysis Instructions sheet.

FORCE FIELD ANALYSIS



FORCE FIELD ANALYSIS INSTRUCTIONS

Introduction

The force field analysis, the technique of analyzing the conditions that support or restrain a given outcome, was developed by Kurt Lewin. Use of a force field analysis can be an effective way to both analyze an existing set of conditions and determine the most effective methods to move closer to a desired outcome.

Instructions

1. Use a large sheet of flipchart paper and draw a diagram of a force field like the one on the previous page.
2. Write the goal you are working toward on the right-hand side of the diagram.
3. Select the forces that are supporting or driving the achievement of the goal. Above each arrow pointing toward the goal, write one of these driving forces.
4. Next, determine the restraining forces that are impeding progress toward the goal. Write these above the arrows pointing away from the goal.
5. The extent to which you are achieving your goal can be assessed as the balance of supporting and restraining factors. The present situation is determined by these opposing forces. If you can alter the forces, the situation will change. Examine the diagram and evaluate those forces that are most notably impeding progress. For example, which restraining force(s) seems to be having the most significant effect? If it were removed, would the situation change enough to enable you to meet your goal? If so, how can you remove it? If it cannot be removed, would removal of several other forces provide the desired outcome?
6. Next, examine the driving forces. What can be done to increase the power of the driving forces that would offset the restraining forces? Can new driving forces be created to shift the balance?
7. Select the three most potent actions that would shift the balance in favor of achievement of your goal. Discuss and develop an action plan to address each.

MODULE RESOURCES

Literature Resources

Gilmore, Thomas (1985). "Ideas in Good Currency." Unpublished manuscript. Philadelphia: University of Pennsylvania, Wharton School of Business.

Weber, Richard C. (1982). "The Group: A Cycle From Birth to Death." *In NTL Reading Book for Human Relations Training* (7th ed.), ed. L. Porter and B. Mohr. Arlington, VA: NTL Institute.

Endnotes

- 1 This presentation was developed by William Woodward as part of grant SJI-99-N-039, “National Resource Center on Collaboration in the Criminal and Juvenile Justice System,” by the State Justice Institute to the Center for Effective Public Policy. Mr. Woodward is a faculty member at the Center for the Study and Prevention of Violence at the University of Colorado at Boulder.

Module

9

Goals, Objectives, and Critical Work Activities

MODULE CHECKLIST

Please use the following checklist to ensure that your presentation of Module 9 is complete.

Module Structure

Module Duration

- 1 hour and 20 minutes.

Module Topics

- Plenary session: Goals, Objectives, and Critical Work Activities (10 minutes).
- Teamwork Exercise 8: Identifying the Goals, Objectives, and Critical Work Activities Necessary to Strengthen Our Collaboration (45 minutes).
- Plenary session: Final Report Out (15 minutes).
- Closing comments (5 minutes) and the showing of *The Goose Story* video (5 minutes).

Module Instructions

Equipment and Materials

- A computer with LCD projector and projection screen.
- PowerPoint® slide Presentation G.
- If an LCD projector is not available, transparencies of Presentation G.
- An overhead projector.
- Overhead transparencies and transparency markers (enough for each team).
- The Goose Story* video, a VCR, and a projection screen and audio system.

Faculty Roles

- The moderator** introduces the plenary session presenter, sends participants and team facilitators to their breakout rooms, makes closing remarks, reminds participants to complete their evaluations, plays *The Goose Story* video, and dismisses participants.
- The plenary session presenter** describes the process of identifying goals, objectives and critical work activities, and introduces the teamwork session based on the script in this module.
- Team facilitators** instruct the teams on the mechanics of the teamwork exercise and facilitate the teamwork sessions.
- Support staff** ensure that materials are distributed for the final report-out, and ensure all the audio-visual equipment is set up and functioning properly.

Tips for a Successful Module

- Teams should complete their work on vision and mission development before beginning Teamwork Exercise 8.
- Facilitators instruct their teams to write their report-out points on overhead transparencies and provide them with the necessary supplies to do this.
- The moderator ensures that each team has an equal share of the 15 minutes allotted for the report-out.

- ❑ The moderator has *The Goose Story* video ready to play after the teams report on their action plans and discusses final housekeeping details before the video is shown. This will allow its images and message to stay with the participants after the session is adjourned.

Module Content

Key Points

- ❑ Define and identify the key steps in creating a team action plan that is related to a team's vision and mission.

Teamwork Exercise Key Points

- ❑ Establish an action plan to guide the team's work when the group returns home.
- ❑ Develop a final report (using transparencies) to present to the entire workshop group.

Special Plenary Group Exercises

- ❑ Each team reports out on three action steps the group will take to strengthen its collaboration when it returns home, as well as on the most important lesson the team learned about collaboration during the workshop.
- ❑ The final activity of the workshop is the showing of *The Goose Story* video, which illustrates teamwork and collaboration in nature through the observation of the behavior of geese.

MODULE EXPLANATION

In Module 9, the last module of the workshop, participants focus on translating the lessons of the workshop into an action plan. The purposes of this module are to:

- Assist teams in examining their goals, objectives, and critical work activities necessary to strengthen their collaborative work;
- Summarize the workshop activities and encourage teams to translate the workshop lessons into their own action plans; and
- Close the workshop on a positive and inspirational note.

The Goose Story video ends the workshop.

SAMPLE SCRIPT

Goals, Objectives, and Critical Work Activities¹ (Presentation G)



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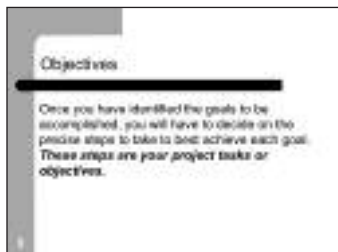
In earlier presentations, we talked about the mission statement for your team, and discussed the need to identify critical goals that must be accomplished in order for your team to complete its mission. During this session, we will focus on the development of specific goals and objectives, and identify particular work activities that your team will undertake. As we have noted, having clear ideas about how to proceed with accomplishing work activities is a major step in developing a results-driven structure — one of the eight characteristics of successful teams.



Display Slide G-2

During the teamwork discussion concerning mission statements, your team identified a variety of problems that exist, and generated “problem statements.” Problem statements reflect critical issues or areas that must be successfully addressed in order for you to appropriately complete your mission. Overcoming these critical issues and solving these problems become the goals for the team.

For example, you might have identified as a problem the fact that critical agencies or individuals are not represented on your team. If the mission of the team cannot be successfully accomplished without the presence of other individuals, then securing the participation of these individuals on your team becomes a critical goal.



Display Slide G-3

Teams often form sub-groups to work on the accomplishment of individual goals. Whatever method is employed, specific actions will have to be undertaken in order to make progress toward each goal. For instance, for the goal mentioned above (securing additional team members from critical areas/organizations), the team will need to identify the specific steps that it will take in order to move forward on this issue. This might include identifying possible individuals or organizations to invite to join the team, determining the most appropriate way to initiate contact or get approval for adding new members, determining who will undertake necessary actions to initiate contact, etc. The identification and execution of these specific tasks become the objectives for that goal. Remember, too, as we discussed in our session on problem identification and missions, part of our task may be to collect data or conduct research that will help us better understand the problem we are trying to solve.



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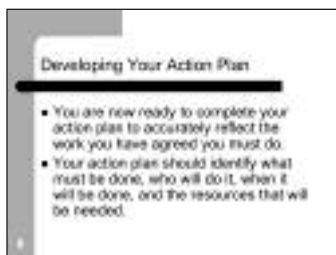
As we have previously discussed, your vision is a reflection of your preferred future, and your mission is to overcome specific problems that are keeping you from moving in the direction of your vision. Your goals represent critical areas or issues that must be addressed in order for you to be able to accomplish your mission, and your objectives involve those tasks that must be completed in order for your team to meet your goals successfully.



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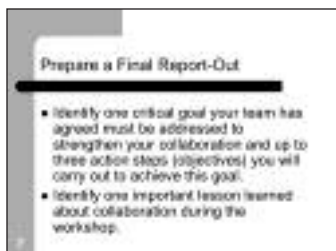
It is now time for your team to develop an action plan. This action plan should focus on one or more specific goals that your team has chosen to work on, and the tasks or objectives that will need to be completed in order for your team to make progress towards meeting these goals.

During various parts of this workshop, we have talked about some process activities that can strengthen the work of your team. As you develop an action plan, also consider some of the specific actions that can be taken to generally improve the way in which your team operates.



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In the teamwork exercise that follows, you will be asked to identify several tasks that will need to be performed. These tasks should be focused on helping your team to accomplish one of its primary goals. As you identify these tasks, you will need to determine what must be done, who will do it, when it will be done, and what resources are needed to accomplish this task.



Display Slide G-7

The last activity for your team is to prepare a report-out that indicates one of the goals that you have decided to work on, and to specify some of the critical tasks that you will undertake in order to accomplish this goal.

You will also be asked to identify one important lesson that you have learned about collaboration as a result of your participation in this workshop.

Final Report Out (Moderator; 15 minutes)

As explained in the Teamwork Exercise Details below, teams are instructed to list their top three action steps and one lesson they learned from the workshop during the final report to the full group. Each team selects a member to give the report on behalf of the team. Each team is given one transparency on which to list its three action steps and one lesson learned.

The moderator facilitates the report-out, calling on teams or asking for volunteers. The moderator also comments on and synthesizes each team's report-out.

Closing Comments (Moderator; 5 minutes)

During the closing comments, the moderator briefly summarizes the workshop, thanks participants and faculty (and others, if applicable), and takes care of any housekeeping details. The moderator then instructs participants to complete the workshop evaluation forms and return them to their facilitators.

***The Goose Story Video* (Moderator; 5 minutes)**

The Goose Story video presentation is the final activity of the workshop. It is important to have it ready to play at the conclusion of the final team's report-out on its action plans. The moderator discusses final housekeeping details (e.g., expense reimbursement information, hotel check-out) before the video is shown.

Before playing the video, the moderator explains that this short presentation illustrates in yet another way the importance of teamwork and true collaboration. When the video is over, the workshop is concluded with a simple goodbye in order to allow the video's images and message to stay with the participants after they leave.

TEAMWORK EXERCISE DETAILS

Introduction to Teamwork Exercise 8

The brief plenary introduction, “Goals, Objectives, and Critical Work Activities,” immediately precedes the teamwork session and contains all the instructions that teams will need to complete their task. The moderator then sends teams and their facilitators to their breakout rooms to complete the exercise.

Teamwork Exercise Instructions for Facilitators

The following are instructions for team facilitators on how to conduct Teamwork Exercise 8: Identifying the Goals, Objectives, and Critical Work Activities Necessary to Strengthen Our Collaboration.

Exercise Purpose

This exercise allows the team an opportunity to identify priority goals and objectives to guide their future work and to identify essential lessons learned about collaboration during the workshop.

Exercise Goal

The facilitator ensures that the team understands the goal of this exercise, which is to establish an action plan to strengthen the team and the team’s collaboration.

Exercise Instructions

The facilitator leads the team through the following instructions:

1. Identify several goals the team would like to accomplish to keep the collaborative process moving forward once the team returns to its jurisdiction.
2. Prioritize the goals set. The team may need to discuss what constitutes a “priority” (for example, are these the things that must be done immediately or that have the greatest likelihood of helping the team to achieve its mission?). The best way to determine the strength of the consensus among team members may be to provide each member the opportunity to vote for the three priority goals. To accomplish this, ask each member to place check marks next to their top three priority items.
3. If there is a disagreement around the priorities, discuss all of the items that received votes and develop consensus among the group on the top three.
4. Develop an action plan to address at least the top three priority goals. Identify what the objectives for each goal are, who on the team is responsible for ensuring each objective is accomplished, when each objective will be accomplished, and if any additional resources are needed. Continue the team’s action planning with the other goals, if time permits.
5. Choose one of the priority goals and prepare a final report-out for the full group. Create a transparency to use in the report-out that includes the following information:
 - The critical goal the team has agreed must be addressed, and up to three objectives the team will accomplish to reach this goal.

- One important lesson learned about collaboration during the workshop.
6. Select a reporter from the team to share this information with the full group in the final plenary session.

TEAMWORK EXERCISE 8

IDENTIFYING THE GOALS, OBJECTIVES, AND CRITICAL WORK ACTIVITIES NECESSARY TO STRENGTHEN OUR COLLABORATION

Day, Date

2:50 p.m. — 3:35 p.m.

Purpose

During the last plenary session, the importance of developing an action plan to guide your team’s future work—and capture your discussions over the previous three days—was emphasized. During this exercise, your team will have the opportunity to identify priority goals and objectives—action steps—to assure that these goals are carried out.

Goal

The goal of this exercise is to establish an action plan to strengthen your project’s collaborative process.

Instructions

1. Identify several goals your team would like to accomplish to keep the collaborative process moving forward once you return to your jurisdiction.
2. Next, prioritize the goals you have set. You may need to discuss what constitutes a “priority” (for example, are these the things that must be done immediately or that have the greatest likelihood of helping you to achieve your mission?). The best way to determine the strength of the consensus in your group may be to provide each member the opportunity to vote for three priority tasks. To accomplish this, provide each member with three colored dots to place next to the top three priority items.
3. If there is disagreement around the priorities, talk through all of the items that received votes and attempt to develop consensus among the group on the top three.
4. Finally, develop an action plan to address at least the top three goals. Identify what the objectives for each goal are, who is responsible for ensuring each objective is accomplished, when each objective will be accomplished, and if any additional resources are needed. Continue your action planning with the other goals, if time permits.
5. Choose one of your team’s priority goals and prepare a final report-out for the full group. Create a transparency to use in your report-out that includes the following information:
 - The critical goal your team has agreed must be addressed, and up to three objectives your team will accomplish to reach this goal.

- One important lesson learned about collaboration during the workshop.
6. Select a reporter from your team to share this information with the full group in the final plenary session.

Endnote

- 1 This presentation was developed by Richard Stroker as part of grant SJI-99-N-039, “National Resource Center on Collaboration in the Criminal and Juvenile Justice System,” by the State Justice Institute to the Center for Effective Public Policy. Richard Stroker is a Senior Manger with the Center for Effective Public Policy.

Chapter

3

Explanation and Samples of Curriculum Materials

All curriculum materials can be found at:
www.collaborativejustice.org

or contact the
Center for Effective Public Policy
8403 Colesville Road, Suite 720
Silver Spring, MD 20910
301-589-9383
www.cepp.com

This chapter provides samples of all the materials that support the presentation of this curriculum as well as detailed instructions for their preparation.

INTRODUCTION

This portion of the training curriculum describes and exhibits the materials that should be given to participants at the training event. These materials are the keys to setting the tone of the training. Participants must be fully informed of what they will be doing during the course of the event so it will be an effective process for them; these materials provide guidance and clarity. (In addition, these materials serve as a model of meeting preparation behavior for teams. If teams can observe the appropriate way to convene meetings and prepare participants, they are more likely to put these practices in place in their own jurisdictions.)

The following pages present the materials that participants will be given at the training event. For the purposes of this curriculum, the set of assembled final materials will be referred to as a “packet.” Each participant must receive a packet at the beginning of the workshop. The packet should be assembled as either a folder or a binder. (Use the latter if the sponsoring agency is adding additional resource materials.)

If you use a folder, it should be labeled clearly with the name, dates, and location of the training. The text below describes what to include in the packet, the order in which to assemble the materials, the justification for doing so, the information on each document that will need to be individually tailored to training events, and other such instructions.

Tips

Invest the time preparing and personalizing the materials. This can be accomplished through several techniques, some of which may depend on the type and size of the audience. Consider:

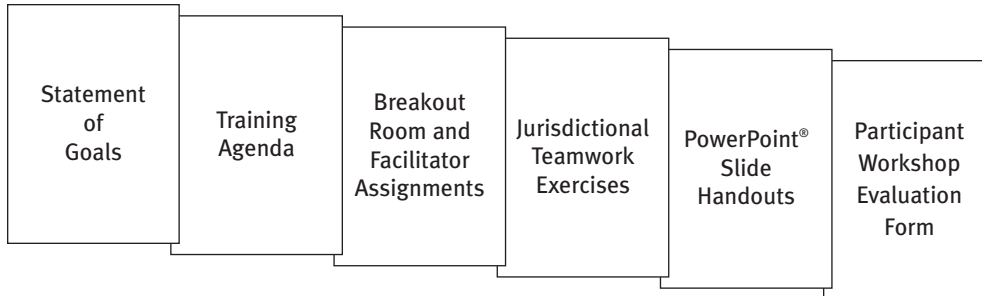
- Creating personalized packets, with each participant’s name on the folder label.
- Using a different color folder for each team to contribute to the team-building atmosphere of the training event.

Key Points

- Understand the importance of the materials — they are the key to the workshop; the curriculum cannot be conducted without them.
- Recognize the significance of the teamwork session exercises — these are not just “pieces of paper.” Participants will be spending a lot of their time on these exercises and applying what they have learned in a way that is meaningful and specific to their team.
- Invest the time in preparing and personalizing the materials.

EXPLANATION OF PACKET DOCUMENTS

Right Side of Packet



Explanation of Packet

The right side of the final packet consists of the following materials that participants will need during the course of the training (place them in the following order):

1. Statement of Goals (on top)
2. Training Agenda
3. Breakout Room and Facilitator Assignments
4. Jurisdictional Teamwork Exercises (assembled chronologically and stapled together, excluding the Experiential Learning Exercise)
5. PowerPoint® Slide Handouts (three slides per page)
6. Participant Workshop Evaluation Form

Statement of Goals

The statement of goals is an integral part of orienting the participants to the workshop. This document explains the workshop's purpose. On the adjoining page, the seven goals of the training have been carefully constructed to reflect the activities necessary to address collaboration issues and are directly related to the agenda. The evaluation form asks participants to assess the degree to which they feel each goal was accomplished during the workshop.

Training Agenda

The workshop agenda is the most important document in the participant packet in terms of orienting participants to the event. The agenda guides both faculty and participants through the training and provides for a smooth flow of activities. The moderator must continually review the agenda with participants at the start of the training as well as each morning of the training. Setting specific time limits (and the moderator's ability to adhere to those limits) also contribute to the smooth flow and the atmosphere of the event. The agenda should be printed on paper that is a different color than the other documents in the packet so that it can be easily referenced.

Breakout Room and Facilitator Assignments

This document lists the room in which each team will spend its teamwork sessions and the facilitator who will work with each team.

Jurisdictional Teamwork Exercises

Jurisdictional teamwork sessions are the times allotted on the agenda for each of the participating teams to work on the teamwork exercises. *These exercises are not just “pieces of paper”; they are a unique feature of this curriculum and are essential to its successful delivery. The curriculum cannot be conducted without them.* The exercises allow teams to directly apply to their work the lessons learned in the previous plenary session and to maximize these lessons and the impact of the information on the team.

These multiple documents should be stapled together — they are the jurisdictional teamwork exercises in chronological order. These documents are important for participants because they provide specific instructions on the work to be accomplished during the teamwork exercises, each of which includes a set of goals. The content of these exercises are more thoroughly discussed in each module.

It is recommended that this document series also be printed on paper that is a different color than the other documents. These documents will not include instructions for the Experiential Learning Exercise because that exercise is designed to bring an element of surprise to the event (see the Preparation section in chapter 1).

PowerPoint® Slide Handouts

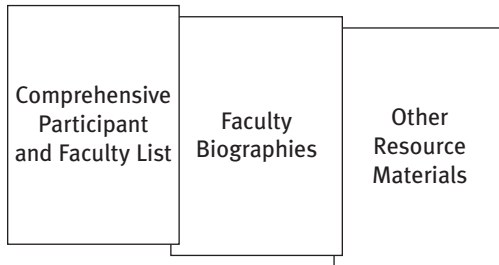
This series of handouts duplicates the slides presented in the plenary sessions — they are in chronological order of the plenary sessions to which they correspond. The slides are shown here in miniature in a six-per-page format. We recommend distributing them to participants in a three-per-page format because that will allow them room to take notes. Participants can use this document to follow along during the plenary presentations.

As a precautionary measure, it is recommended that trainers have color transparencies available to use with an overhead projector in case the PowerPoint® slide program or the computer does not function properly. Faculty also may consider using transparency slides as a way to build intimacy with a group or to foster a more casual atmosphere.

Participant Workshop Evaluation Form

The participant evaluation form is a means by which to gain feedback about the training, the curriculum that was presented, and the manner in which the curriculum was delivered. The purpose of the evaluation is to enhance the delivery of future workshops. Faculty should summarize and tally the scores of the evaluation after the workshops. It may also be helpful to include a slightly modified faculty evaluation form (according to the sponsoring agency’s needs) for team facilitators to complete following the training event.

Left Side of Packet



Explanation of Packet

The left side of the packet is reserved for resource materials that participants may find useful after the training event. It consists of the following materials in the following order:

1. Comprehensive Participant and Faculty List
2. Faculty Biographies
3. Other Resource Materials

Comprehensive Participant and Faculty List

This document is provided as a resource for participants. It should include complete contact information for each participant and faculty member: full name, title, agency, complete mailing address, telephone number, fax number, and e-mail address (if applicable).

Faculty Biographies

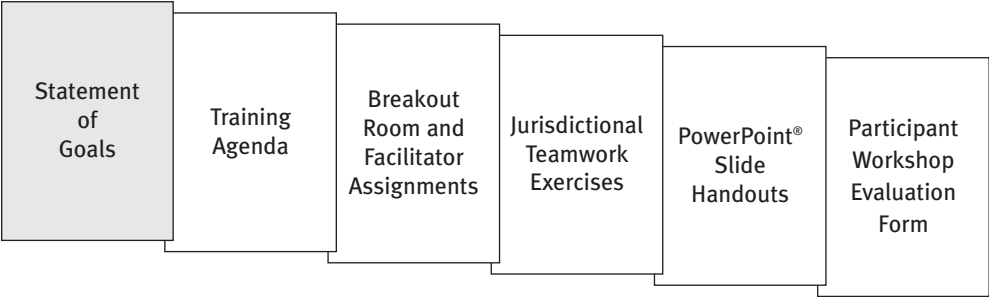
This document describes the background of the trainers and other faculty members in attendance at the training.

Other Resource Materials

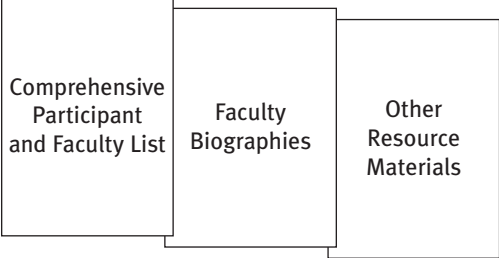
This portion of the folder should include substantive materials on collaboration. For example, the workshop coordinators can include some of the resource materials listed in the “Literature Resources” sections of the modules.

SAMPLES OF PACKET DOCUMENTS

Right Side of Packet



Left Side of Packet



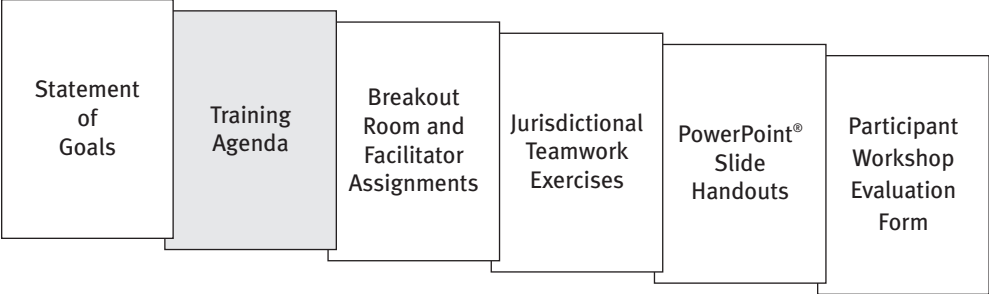
WORKSHOP GOALS

Date
Meeting Location
City, State

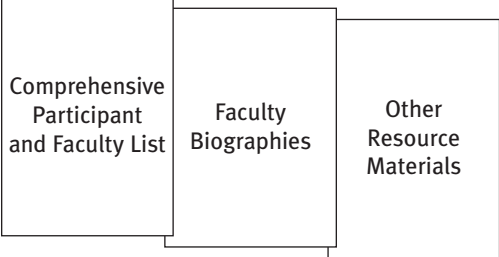
The goals of this workshop are to:

- Promote a common understanding of the language and concepts of collaboration;
- Promote team building;
- Enable teams to articulate their vision, values, and mission;
- Educate teams about group dynamics and how to examine the dynamics of their own group;
- Enable teams to understand the team lifecycle and assess their own place on that cycle;
- Instruct teams on how to create an action plan to strengthen their collaboration; and
- Allow teams to share common experiences with one another.

Right Side of Packet



Left Side of Packet



SAMPLE WORKSHOP AGENDA

Date
Meeting Location
City, State

All Plenary Sessions Will Be Held in the Ballroom

Day, Date

- 9:00 a.m. **Plenary Session: Welcome**
- Opening Speaker's Name and Title*
- 9:20 a.m. **Plenary Session: Introduction of the Teams, Presenters and Facilitators**
- Moderator's Name and Title*
- 9:50 a.m. **Plenary Session: Review of the Workshop Goals and Agenda**
- Moderator's Name*
- 10:05 a.m. **Plenary Session: An Overview of Why We Are Here**
- This presentation provides an overview of what brings us together.
- Moderator's Name*
- 10:15 a.m. **Plenary Session: What Is Collaboration, and What Do We Know About It?**
- This session will describe and define collaboration, discuss critical research on successful collaboration, and provide some practical tips for developing and maintaining effective collaborative teams.
- Presenter's Name and Title*
- 10:45 a.m. **Plenary Session: Introduction to Teamwork Exercise 1**
- Moderator's Name*
- Following an introduction to the Collaboration Survey and its empirical basis, teams will take the Collaboration Survey. After a short break, teams will meet in their breakout rooms for Teamwork Session 1 to process the results of the survey.
- 11:00 a.m. **Teamwork Exercise 1: What Is the Current State of Our Collaborative Efforts?**
- 12:00 p.m. **Working Lunch (continue with Teamwork Exercise 1)**

| | |
|------------|---|
| 12:30 p.m. | <p>Plenary Session: The Importance of Values and Vision to the Work of a Collaborative Team</p> <p>This session will address the importance of values and vision and how they inform and guide effective teamwork.</p> <p><i>Presenter's Name and Title</i></p> |
| 1:00 p.m. | <p>Teamwork Exercise 2: Examining Our Vision and Values</p> |
| 2:00 p.m. | <p>Break</p> |
| 2:15 p.m. | <p>Plenary Session: Identifying Problems and Developing Clear Missions</p> <p>This session will address the importance of the teams' identification of the specific problems they are working together to address, and the development of collaborative missions.</p> <p><i>Presenter's Name and Title</i></p> |
| 2:35 p.m. | <p>Teamwork Exercise 3: Identifying the Problems and Developing a Clear Mission</p> |
| 3:45 p.m. | <p>Plenary Session: True Colors™</p> <p>After a plenary introduction, participants will take the True Colors™ test (a team-building exercise) and process the results.</p> <p><i>Presenter's Name and Title</i></p> |
| 5:00 p.m. | <p>Plenary Session: Wrap Up and Adjourn for the Day</p> <p><i>Moderator's Name</i></p> |

Day, Date

| | |
|-----------|--|
| 8:30 a.m. | <p>Plenary Session: Welcome and Review of the Day's Agenda</p> <p><i>Moderator's Name</i></p> |
| 8:40 a.m. | <p>Plenary Session: Roles and Responsibilities of Team Members</p> <p>This session will address the need for teams to clarify the roles and responsibilities of each team member and the benefits of doing so.</p> <p><i>Presenter's Name and Title</i></p> |
| 9:10 a.m. | <p>Teamwork Exercise 4: What are Members' Roles and Responsibilities on Our Team?</p> |

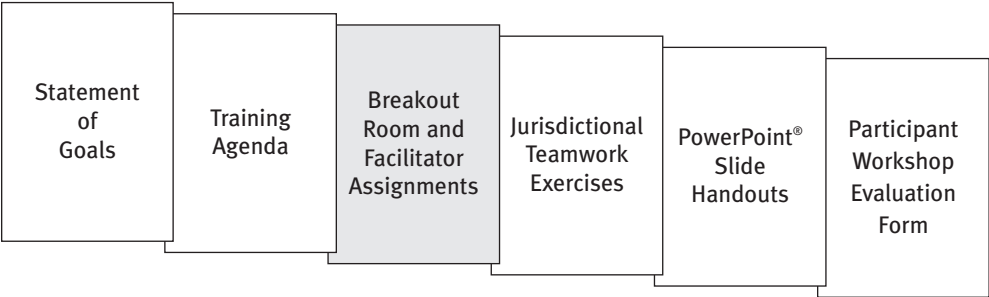
| | |
|------------|--|
| 10:15 a.m. | Break |
| 10:30 a.m. | Teamwork Exercise 4: (continued) |
| 12:00 p.m. | <p>Working Lunch (Concurrent Discussion Groups)</p> <p>Participants meet with their colleagues from other teams in the plenary session room for a facilitated discussion about common concerns. Participants are grouped by discipline to discuss the unique challenges collaboration poses as a result of their roles.</p> |
| 1:30 p.m. | <p>Plenary Session: Collaboration in American History</p> <p>This session will highlight the important role that collaboration has played throughout the history of the United States.</p> <p><i>Guest Speaker</i></p> |
| 2:00 p.m. | <p>Introduction to Teamwork Exercise 5: Experiential Learning Exercise</p> <p>The experiential learning model states that when persons have a concrete experience, they reflect on that experience, abstract from it, and then integrate (act on) their learnings. This exercise will apply the experiential learning model to the issue of collaboration.</p> <p><i>Moderator's Name</i></p> |
| 2:10 p.m. | Teamwork Exercise 5: Experiential Learning Exercise |
| 6:00 p.m. | <p>Adjourn</p> <p>It will take each team at least three hours to complete the experiential learning exercise and the actual end time may be later than 6:00 p.m., depending upon the decisions made by the team. Many teams choose to work through the dinner hour.</p> |

Day, Date

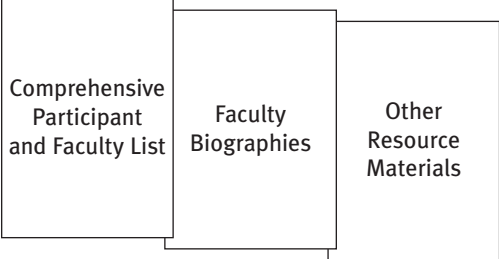
| | |
|-----------|---|
| 8:30 a.m. | <p>Plenary Session: Welcome and Review of the Day's Agenda</p> <p><i>Moderator's Name</i></p> |
| 8:40 a.m. | <p>Plenary Session: Report Out from Teamwork Exercise 5: Experiential Learning Exercise</p> <p>During this session, this team will have an opportunity to present the key lessons they learned during the Experiential Learning Exercise.</p> <p><i>Moderator's Name</i></p> |

- 9:40 a.m. **Plenary Session: Group Dynamics**
- This session will address the stages of group development, positive and negative group behavior, and how to effectively manage group dynamics.
- Presenter's Name and Title*
- 10:10 a.m. **Break**
- 10:20 a.m. **Teamwork Exercise 6: What Influences Do Our Group's Dynamics Have on Our Work as a Team?**
- 11:50 a.m. **Break for Lunch (On Your Own)**
- 1:00 p.m. **Plenary Session: Team and Project Lifecycles**
- This session explains the concept of team and project lifecycles.
- Presenter's Name and Title*
- 1:20 p.m. **Teamwork Exercise 7: Where Are We in Our Lifecycle?**
- 2:30 p.m. **Break**
- 2:40 p.m. **Plenary Session: Goals, Objectives, and Critical Work Activities**
- This session will set the stage for the final teamwork session in which teams will examine their goals, objectives, and critical work activities in order to identify specific next steps that will lead to stronger and more impactful collaborative teamwork.
- Presenter's Name and Title*
- 2:50 p.m. **Teamwork Exercise 8: Identifying the Goals, Objectives, and Critical Work Activities Necessary to Strengthen Our Collaboration**
- 3:35 p.m. **Plenary Session: Final Report-Out**
- Teams will report out on three action steps identified during the final teamwork exercise that they will take to strengthen their collaboration, as well as on the most important lesson they learned about collaboration during the workshop.
- 3:50 p.m. **Plenary Session: Closing Comments and Presentation of Brief Video**
- Moderator's Name*
- 4:00 p.m. **Adjourn**

Right Side of Packet



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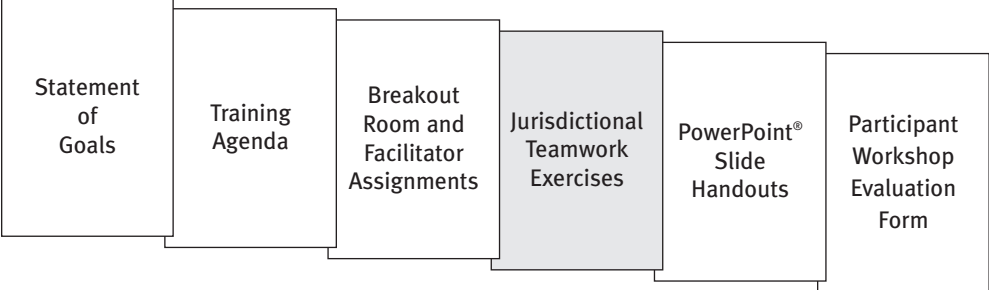


FACILITATOR AND BREAKOUT ROOM ASSIGNMENTS

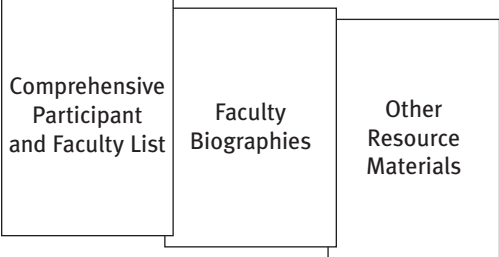
Date
Meeting Location
City, State

| Team | Facilitator(s) | Room |
|----------------|----------------|--------------|
| Jurisdiction A | Facilitator 1 | Name of Room |
| Jurisdiction B | Facilitator 2 | Name of Room |
| Jurisdiction C | Facilitator 3 | Name of Room |

Right Side of Packet



Left Side of Packet



JURISDICTIONAL TEAMWORK EXERCISES

Date
Meeting Location
City, State

TEAMWORK EXERCISE 1

WHAT IS THE CURRENT STATE OF OUR COLLABORATIVE EFFORTS?

Day, Date

11:00 a.m. — 12:30 p.m.

Purpose

The work a team does together often determines its success. This session is designed to give you a “snapshot” of the current state of your team on several dimensions of collaboration.

Goals

The goals of this session are to:

- Discuss and better understand the characteristics of a high-performing team;
- Assess the current state of the teamwork in your group; and
- Begin to work on areas that will improve the functioning of your team.

Instructions

1. Complete the Collaboration Survey in the plenary session. Please answer the questions on the Collaboration Survey based on your own personal experience with this team (i.e., the expanded team, including those who did not come to this meeting). This is not a group exercise. Questions are to be answered individually. Please do not put your name on the survey.
2. After the short break, meet with your team and team facilitator in your breakout room.
3. Assign one member of the team to keep accurate notes of the teamwork sessions for future use and to serve as your workplan recorder throughout the workshop.

Discussion Questions

1. Discuss the two items that scored the highest (low numbers) on the Collaboration Survey and why you believe this is so. Think of specific events or accomplishments that demonstrate these high scores.
2. Discuss which items scored the lowest (high numbers) and why. Consider if any specific events caused lower scores for these items.
3. Select at least one of the lowest scoring items on the list and propose actions that might help improve the scores.

4. An important support to any team's work together is the establishment of ground rules. Your facilitator will spend a few minutes with you at the end of this exercise to assist you in developing a list of ground rules your team can begin to use during your meetings while you are here and when you return home.

Assignment

1. Your team should select someone to be responsible for ensuring that the team:
 - a. Continues to discuss the highest priority (highest) scores and develops an action plan to address each; and
 - b. Completes this exercise at 6-month intervals. (This step is designed to continue to improve your group's collaboration and teamwork during the life of the project.)
2. Please note these items on your workplan.

WORKING TOGETHER: A PROFILE OF COLLABORATION

THE INSTRUMENT

The research underlying this instrument has been published in:

Collaborative Leadership: How Citizens and Civic Leaders Can Make a Difference, 1st ed., by David D. Chrislip and Carl E. Larson, San Francisco: Jossey-Bass, 1994.

OMNI Institute has been using the instrument since 1992 in the evaluation and support of collaborative groups. For more information, please contact them at:

Kevin K. Kapeller
OMNI Institute
899 Logan Street, Suite 600
Denver, CO 80203
303-839-9422, ext. 39
800-279-2070, ext. 39
Fax 303-839-9420
E-mail: kkapeller@omni.org

WORKING TOGETHER: A PROFILE OF COLLABORATION

The purpose of this booklet is to record your opinions about items that measure collaboration effectiveness. Your honest responses to these items will be extremely helpful. Your responses will be statistically summarized and displayed, along with the responses of others, without identifying you individually.

Collaboration Identification:

You are a member of a group. The group may be called a partnership, consortium, or coalition. The group exists to deal with one or more concerns, issues, or goals. The name of the group is below. You will be asked to report the extent to which certain items are true or not true of your group. As you respond to each of the items in this booklet, please keep in mind the group you are describing.

NAME OF THE GROUP: _____

Instructions:

Items are grouped into five categories. To the left of each item is a scale for recording your responses. Read the item, think about the extent to which it describes your group, and fill in the appropriate circle.

| True | More True Than False | More False Than True | False | |
|---|-----------------------|-----------------------|-----------------------|--|
| The Context of the Collaboration | | | | |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 1. Now is a good time to address the issue about which we are collaborating. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 2. Our collaborative effort was started because certain individuals wanted to do something about this issue. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 3. The situation is so critical, we must act now. |
| True | More True Than False | More False Than True | False | |
| The Structure of the Collaboration | | | | |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 4. Our collaboration has access to credible information that supports problem solving and decisionmaking. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 5. Our group has access to the expertise necessary for effective meetings. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 6. We have adequate physical facilities to support the collaborative efforts of the group and its subcommittees. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 7. We have adequate staff assistance to plan and administer the collaborative effort. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 8. The membership of our group includes those stakeholders affected by the issue. |

| | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|--|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 9. Our membership is not dominated by any one group or sector. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 10. Stakeholders have agreed to work together on this issue. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 11. Stakeholders have agreed on what decisions will be made by the group. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 12. Our group has set ground rules and norms about how we will work together. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 13. We have a method for communicating the activities and decisions of the group to all members. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 14. Our collaboration is organized in working subgroups when necessary to attend to key performance areas. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 15. There are clearly defined roles for group members. |
| True | More True Than False | More False Than True | False | |

Collaboration Members

| | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|--|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 16. Members are more interested in getting a good group decision than improving the position of their home organization. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 17. Members are willing to let go of an idea for one that appears to have more merit. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 18. Members have the communication skills necessary to help the group progress. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 19. Members of the collaboration balance task and social needs so that the group can work comfortably and productively. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 20. Members are effective liaisons between their home organizations and the group. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 21. Members are willing to devote whatever effort is necessary to achieve the goals. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 22. Members monitor the effectiveness of the process. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 23. Members trust one another sufficiently to honestly and accurately share information, perceptions, and feedback. |
| True | More True Than False | More False Than True | False | |

The Collaboration Process

| | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|---|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 24. We frequently discuss how we are working together. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 25. Divergent opinions are expressed and listened to. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 26. The process we are engaged in is likely to have a real impact on the problem. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 27. We have an effective decisionmaking process. |

- | | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|---|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 28. The openness and credibility of the process help members set aside doubts or skepticism. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 29. There are strong, recognized leaders who support this collaborative effort. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 30. Those who are in positions of power or authority are willing to go along with our decisions or recommendations. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 31. We set aside vested interests to achieve our common goal. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 32. We have a strong concern for preserving a credible, open process. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 33. We are inspired to be action oriented. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 34. We celebrate our group's successes as we move toward achieving the final goal. |

| | | | |
|------|----------------------|----------------------|-------|
| True | More True Than False | More False Than True | False |
|------|----------------------|----------------------|-------|

The Results of the Collaboration

- | | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|---|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 35. We have concrete measurable goals to judge the success of our collaboration. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 36. We have identified interim goals to maintain the group's momentum. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 37. There is an established method for monitoring performance and providing feedback on goal attainment. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 38. Our group is effective in obtaining the resources it needs to accomplish its objectives. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 39. Our group is willing to confront and resolve performance issues. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 40. The time and effort of the collaboration is directed at obtaining the goals rather than keeping itself in business. |

What one change would most improve the effectiveness of this collaborative effort? _____

WORKING TOGETHER: A PROFILE OF COLLABORATION

ADDENDUM

Please answer the following questions in the spaces provided.

1. Based on this and/or prior collaborations, what recommendations do you have for improving this group? _____

2. What do you think is working well in this collaboration? _____

3. What is your incentive now for participating in this collaboration? _____

4. What could we do to increase participation of others? _____

TEAMWORK EXERCISE 2

EXAMINING OUR VISION AND VALUES

Day, Date

1:00 p.m. — 2:00 p.m.

Purpose

During the last plenary session, the importance of clear team vision and values was discussed. Values are the fundamental principles and beliefs that people hold concerning their involvement in a collaborative process. They shape our decisions and actions and, consequently, have an effect on the results of our efforts. Values determine what we believe in and what we commit to, and they provide the foundation or anchor for the team. For this reason, it is critical for teams to discuss openly the values they bring to their work.

Developing a vision that describes what your preferred future looks like is essential to a successful collaborative process. For those involved in the process, a vision provides direction, inspires and motivates, and gives team members a reason to commit their energies to accomplish the many tasks ahead.

During this exercise, your team will discuss its values, develop and agree on team value statements, and create a vision statement for your project.

(Even if your team developed a vision statement prior to the workshop, you should continue with this exercise and, at a later time, examine how the results of your work today compares with the work you have done previously.)

Goals

The goals of this exercise are to:

- Identify the individual values you bring to your team; and
- Create a shared vision for the future.

Instructions

1. The first discussion centers on the values you bring to the collaborative effort.
 - Working individually, create a list that includes two or three core values or principals that are central to you and your work.
 - Go around the group and have each person state one of his or her individual core values. Note each on the flipchart. Continue going around the group until all the values are listed.
 - From these values, develop two or three core value statements that will guide your team's work.

2. Based on the team’s core values, create a team vision statement related to your project that describes your team’s “preferred future.”

- Ask yourself the following questions: “If our project were working ideally, what would it look like? Toward what outcomes would it be striving? How would it serve the community?” When you answer these questions, try to avoid focusing on your current situation and its limitations. Envisioning the future is not about articulating every task needed to get there; rather, it is simply a discussion about where you want to go and why.
- Individually, write down several phrases that describe your preferred future.
- Go around the group and have each person read one of his or her phrases. Note each on the flipchart. Continue going around the group until all the phrases are listed.
- From these statements, create a vision statement for your collaborative team.

3. If your team is unable to complete this exercise in the time allotted, continue your work together on this exercise during the next team work session.

TEAMWORK EXERCISE 3

IDENTIFYING THE PROBLEMS AND DEVELOPING A CLEAR MISSION

Day, Date

2:35 p.m. — 3:45 p.m.

Purpose

Ensuring that your collaborative team understands the problems you are working together to address is essential. This exercise allows your team to clarify and reach a consensus on the problem or problems it is addressing, and identify the data or information that will help shape and define the problem(s). Your team also will develop a mission statement that will guide its future efforts.

(Again, even if your team developed a mission statement prior to the workshop, you should continue with this exercise and, at a later time, examine how the results of your work today compare with the work you have done previously.)

Goals

The goals of this session are to:

- Determine the problem or problems your team seeks to address; and
- Establish a mission statement for your collaborative team.

Instructions

1. Articulate clearly the problem or problems your team needs to solve. Your team should clarify the reason for your project and the strategic issues you are addressing.
 - Write down three statements that describe the problem (or problems) that brings you to the table.
 - For each statement, explain why you believe it is a problem and what data or information is available to help define the problem.
 - Go around the group and have each member read one of his or her problem statements and briefly describe the information or data that supports this. Note these on the flipchart. Continue going around the group until all problem statements are listed.
 - Once all the problems are listed, hold a group discussion to determine the top three problems you are working to address.
2. After you have identified the problem statements, your team is ready to create a mission statement that clearly articulates your team's purpose. It describes who you are, what you want to accomplish, and how you will carry out your work.

Your mission statement will be different from your vision statement. The vision is a broad or global aspiration, likely only achievable in the long-term or by many separate efforts. Your mission statement addresses the piece of the vision on which your team is working.

- List key phrases to help your team craft its mission statement.
 - Go around the group and have each member read one of his or her key phrases. Note these on the flipchart. Continue going around the group until all key phrases are listed.
 - From these key phrases, craft your mission statement.
3. At the end of the session, write your mission statement on flipchart paper and post it on the wall in the plenary room.

TEAMWORK EXERCISE 4

WHAT ARE MEMBERS' ROLES AND RESPONSIBILITIES ON OUR TEAM?

Day, Date

9:10 a.m. — 12:00 p.m.

Purpose

During the preceding plenary session, you heard and discussed the major concepts of role identification, role analysis, and the critical importance of effective working relationships among members of a team. Clear roles and expectations lead to a level of collaboration that promotes high productivity and maximizes your team's potential.

Members of your team come from different specialties and backgrounds. It is important that team members “step outside” their professional day-to-day responsibilities and think in terms of what they can specifically contribute to the team and how each can positively improve the level of team collaboration.

This exercise allows you time to discuss what you think you contribute to the team. It will also provide all team members with an opportunity to comment on how they view other members' contributions. The purpose is to clarify and agree on each member's roles and responsibilities on the team. It is also critical for teams to pay careful attention to the style of leadership adopted by their teams, as well as the composition of their teams, and assure that all of the key stakeholders are represented. This exercise will provide time for teams to begin to examine this issue as well.

Goals

The goals of this exercise are to:

- Develop a statement of duties that reflects your expected contributions to the team;
- Discuss and clarify your expectations and the expectations of the other team members;
- Come to a consensus on each team member's role;
- Begin to discuss the leadership style of your team; and
- Begin to discuss the composition of your team.

Instructions

1. Using the attached Role Expectations Worksheet, individually write a brief statement describing your perception of your duties and responsibilities on your team. Give thought to the unique skills, talents, and expertise you bring to the group and how these relate to the specific role(s) you can perform. Your statement should include information about what you think the other team members expect you to contribute.

2. Using the attached Role Clarification Worksheet, write brief comments about what you expect each of your teammates (list each by name) to contribute to the team's operations and performance.
3. Briefly record the kind of leadership attributes and characteristics you believe are needed to support the team's performance.

This part of the session should take about 30 minutes. When completed, your facilitator will conduct a group discussion using the following guidelines:

4. Read your duties and responsibilities description, and express what you see as your contributions to the team. Allow others to ask questions and clarify your comments. Have others describe their expectations of you. Compare and contrast your personal ideas with those of your fellow team members. Discuss any differences in opinions or observations.
5. Follow the instructions above for each team member. Come to an understanding of and consensus on each person's role and contributions to the team's operation.
6. Next, exchange comments about the leadership style of your team. What is the current style in use? Is this the most appropriate style for your team? If your team has not selected the collaborative style as your current operating style, discuss whether achieving a collaborative leadership approach is ultimately a goal of your team.
7. Finally, consider the membership of your collaborative team including those who were unable to accompany you to this workshop. Are there any stakeholders or interest areas absent from your collaborative team? If yes, add action items to your workplan to recruit these additional members to your group.
8. If you are unable to complete this exercise in the time allotted, continue your work together on this exercise during the next team work session.

ROLE CLARIFICATION WORKSHEET

Below, please record your brief comments about what you expect each of your teammates (list by name) to contribute to this team's operation and performance, and your thoughts about the leadership attributes and characteristics that are important to the team's success.

Names of My Teammates

My Expectations of Them

The leadership attributes and characteristics I think are important to our team's success are:

(THE NEXT TEAMWORK EXERCISE WILL BE INCLUDED IN THE EXPERIENTIAL LEARNING EXERCISE PACKETS, WHICH ARE DESCRIBED IN THE PREPARATION SECTION OF CHAPTER 1.)

TEAMWORK EXERCISE 5

EXPERIENTIAL LEARNING EXERCISE

Day, Date

Begins at 2:10 p.m.

Purpose

The experiential learning model states that when individuals have a concrete experience, they reflect on that experience, abstract from it, and then act on their learnings. This exercise applies the experiential learning model to the issue of collaboration.

Goals

The goals of this exercise are to:

- Provide an experiential learning activity that will assist your team in further exploring and demonstrating its collaboration; and
- Use locations throughout the local area as concrete examples of collaboration in our country's history from which to gain an understanding of your own team and its collaborative work.

Instructions

You have just heard a plenary presentation on the topic of collaboration and its role in American history. The creation of the United States Constitution and many other events in this country's history are important examples of collaborative processes.

This teamwork session is designed to provide an opportunity for you to identify an event or person in American history with which to compare your team's collaboration. Your assignment is to visit at least one of the locations listed in the attached Location Guide as a *team*, and then, as a *team*, create a presentation about your learnings for the rest of the workshop group (see report-out instructions below).

Please choose from the locations listed in the Location Guide. The Guide contains directions to and hours of operation for each site.

Assignment

1. As a team, meet and plan your activities. Consider those locations best suited to meet your needs (i.e., which destination(s) will provide you with the best examples of collaboration in American history, which destination(s) meet the accessibility needs of your team members, etc.).
2. As a team, visit the destination(s) of your choice. Explore it thoroughly. Learn as much about its lessons in collaboration as possible.

3. Reflect on this example of collaboration and, as a team, consider how this piece of history relates to your own collaborative undertaking.
4. As a team, prepare a report-out for tomorrow morning. The report-out should address the questions below. It can be prepared in any manner your team chooses — PowerPoint® slide shows and oral presentations are common, but don't hesitate to be creative! Some teams have demonstrated their experiences through role-plays, have written poems, and have offered musical accompaniment to their report-out. Be sure to involve all of your team members in the actual report-out!

Report-Out

This exercise's report-out will be the first item on the agenda tomorrow morning. Your team will have 5 minutes to present its report (depending on the number of teams). Select a team member to be your timekeeper. This person should cue the team as time counts down and end the presentation promptly after five minutes. Advance preparation is expected. At a minimum, your report-out should touch upon the following:

1. Where did your team go? How did your team come to a decision on where to go? How did that process work for your team?
2. What lessons in collaboration did the site you visited offer? In what ways did your reflection on this example of collaboration in American history make you think differently about collaboration?
3. What did you learn about your team from this experience? (Some examples of the kinds of things you might comment on are: how well group members worked together, your approach to decisionmaking, your ability to overcome obstacles along the way, your sense of team spirit, etc.)?
4. What lesson(s) did your team take away from this experience?

EXPERIENTIAL LEARNING EXERCISE — SAMPLE LOCATION GUIDE

The following is a listing of historical locations — including hours of operation, addresses, admission fees (if any), telephone numbers, nearest Metro stations, and estimated time of travel from Metro to destination — that you might consider visiting as examples of collaboration in American history.

African American Civil War Memorial and Museum

The Spirit of Freedom sculpture at the center of the Memorial plaza features uniformed black soldiers and a sailer poised to leave home. The Wall of Honor encircling the sculpture lists the names of over 200,000 United States Colored Troops (USCT) who served in the Civil War. The Wall of Honor and the Spirit of Freedom sculpture is the first major art piece by a black sculptor to be placed on federal land anywhere in the District of Columbia. Two blocks to the west of the memorial, the Civil War Memorial Museum features a permanent exhibition exploring the African American struggle for freedom in the U.S. The Memorial is open 24 hours a day. The Museum is open Monday — Friday, 10 a.m. — 5:00 p.m., Saturdays 10 a.m. — 2:00 p.m. The Memorial is located at the corner of 10th Street and U Street, NW. The Museum is located at 1200 U Street, NW. Admission to Memorial and Museum is free. 202-667-2667.

Metro: U Street/Cardozo/African American Civil War Memorial Museum Station (13th Street and U Street exit)

(5-15 minute walk from Metro to Museum and Memorial)

American Red Cross National Headquarters (Visitors Center)

Those who tour the Visitors Center can see historic items from the American Red Cross collections, including memorabilia, documents, and gifts presented to the Red Cross from countries that have been helped by this humanitarian organization. The Virtual Museum and the Red Cross Registry are also on display. It is open Monday — Friday, 8:30 a.m. — 4:00 p.m. The Visitors Center is located on historic Red Cross Square at 1730 E Street, NW. Admission is free. 202-639-3300

Metro: Farragut North (K Street exit)

(20-25 minute walk from Metro to Visitors Center)

Franklin D. Roosevelt Memorial

A 7.5 acre site near the Jefferson Memorial, this memorial depicts the 12 pivotal years of Franklin Delano Roosevelt's presidency through a series of four outdoor gallery rooms. The rooms feature ten bronze sculptures depicting President Roosevelt, Eleanor Roosevelt, and events from the Great Depression and World War II. The park-like setting includes waterfalls and quiet pools amidst a meandering wall of reddish Dakota granite, where Roosevelt's inspiring words are carved. It is the first memorial in Washington, D.C. purposely designed to be totally wheelchair accessible. Open 24 hours a day. A park ranger is present daily, 8:00 a.m. — 11:45 p.m. The

Memorial is located in West Potomac Park, across from the Tidal Basin, at 1850 West Basin Drive, SW. Admission is free. 202-426-6841

Metro: Smithsonian (Independence Avenue exit)

(45-60 minute walk from Metro to Memorial)

Holocaust Museum

The United States Holocaust Memorial Museum is a facet of official American memory fitted into the iconography of the Mall in Washington, D.C. Passes are not necessary for entering the Museum building, special exhibitions, the interactive Wexner Learning Center, and other Museum resources. (Timed passes are necessary for visiting the Permanent Exhibition.) Open daily, 10:00 a.m. — 5:20 p.m. (April 6 — June 17 extended hours, Tuesdays and Thursdays, 10:00 a.m. — 7:50 p.m.). The museum is located near the National Mall, just south of Independence Avenue, SW, between 14th Street and Raoul Wallenberg Place. Admission is free. 202-488-0400

Metro: Smithsonian (Independence Avenue exit)

(5-10 minute walk from Metro to Museum)

Jefferson Memorial

Breathtaking day and night, the 19-foot statue of the third President of the United States is surrounded by marble walls inscribed with Thomas Jefferson's writings. The memorial is open daily, 8:00 a.m. — 11:45 p.m. The Memorial is located on East Basin Drive, SW, which is situated on the South side of the Tidal Basin, in West Potomac Park. Admission is free. 202-426-6841

Metro: Smithsonian (Independence Avenue exit)

(30-45 minute walk from Metro to Memorial)

Korean War Memorial

From 1950 to 1953, the United States joined with the United Nations forces in Korea to take a stand against what was deemed to be a threat to democratic nations worldwide. At the war's end, a million and a half American veterans returned to a peacetime world of families, homes, and jobs — and to a country long reluctant to view the war as something to memorialize. But to the men and women who served, the Korean War could never be a forgotten war. The passing of more than four decades has brought a new perspective to the war and its aftermath. The time has come, in the eyes of the Nation, to set aside a place of remembrance for the people who served in this war half a world away. The Korean War Memorial honors those Americans who answered the call, worked and fought under the most trying of circumstances, and gave their lives for the cause of freedom. Open daily, 8:00 a.m. — 11:45 p.m. The memorial is located in West Potomac Park on the National Mall (across the Reflecting Pool from the Vietnam Veterans Memorial). Admission is free. 202-462-6841

Metro: Foggy Bottom-GWU

(35-50 minute walk from Metro to Memorial)

Lincoln Memorial

This grand monument overlooks the Reflecting Pool, the Washington Monument, and the U.S. Capitol. Inside, the marble statue of the 16th President of the United States is flanked by inscriptions of his Second Inaugural Address and his famous Gettysburg Address. Open daily, 24 hours a day. A park ranger is present daily, 8:00 a.m. — 11:45 p.m. The memorial is located at 23rd Street between Constitution and Independence Avenue, NW. Admission is free. 202-426-6841

Metro: Foggy Bottom-GWU

(45-60 minute walk from Metro to Memorial)

Mary McLeod Bethune Council House

The Mary McLeod Bethune Council House is a National Historic Site that commemorates the life of Mary McLeod Bethune and the organization she founded, the National Council of Negro Women. The Bethune Council House was McLeod's last official Washington, D.C. residence and the first headquarters of the National Council of Negro Women. Mary McLeod Bethune founded Bethune-Cookman College in Daytona Beach, Florida, and served as an adviser on African-American affairs to four presidents. President Roosevelt appointed her Director of the Division of Negro Affairs of the National Youth Administration; she was the first African-American woman to hold such a high office in the federal government. This site also features the National Archives for Black Women's History. Open Monday — Saturday, 10:00 a.m. — 4:00 p.m. The site is located at 1318 Vermont Avenue, NW. Admission is free. 202-673-2402

Metro: McPherson Square (Vermont Avenue exit)

(20-25 minute walk from Metro to Mary McLeod Bethune Council House; limited number of stairs; no elevator)

National Air and Space Museum, Smithsonian Institute

The world's most visited museum houses the Wright Brothers' 1903 Flyer, Lindbergh's Spirit of St. Louis, the Apollo 11 lunar command module, and an incredible collection of aviation and space technology treasures. The Samuel P. Langley Theater shows spectacular IMAX films daily (admission fee) and the Albert Einstein Planetarium presents several programs daily (admission fee). Open daily, 10:00 a.m. — 7:00 p.m. The museum is located on the National Mall at Independence Avenue and 4th Street, SW. Admission is free. 202-357-2700

Metro: L'Enfant Plaza (Maryland and 7th Street exit)

(3-5 minute walk from Metro to Museum)

National Archives

The Declaration of Independence, the Bill of Rights, and Charters of Freedom are among the many famous documents on display at the National Archives. Open daily, 10:30 a.m. — 5:30 p.m. The building is located at 700 Pennsylvania Avenue, NW. Admission is free. 202-501-5000

Metro: Archives-Navy Memorial

(3-5 minute walk from Metro to Archives)

National Museum of American History, Smithsonian Institute

Among the wealth of Americana on display at the Museum of American History are: the flag that inspired The Star-Spangled Banner; selected First Ladies' inaugural gowns and quilts; and a vast assortment of cars and locomotives. Popular recent exhibitions have included: The American Presidency, Information Age, Field to Factory, A More Perfect Union: Japanese Americans and the Constitution, and American Encounters. Open daily, 10:00 a.m. — 5:30 p.m. The museum is located on the National Mall at 14th Street and Constitution Avenue, NW. Admission is free. 202-357-2700

Metro: Smithsonian (Mall exit)

(5 minute walk from Metro to Museum)

National Museum of American Indian, Smithsonian Institute

One of the Smithsonian Institution's newest offerings, the National Museum of the American Indian (NMAI) opened September 21, 2004. NMAI features three permanent exhibition galleries, a temporary art gallery, hands-on demonstrations, film, music and dance. In addition to three core exhibits — “Our Universes,” “Our Peoples,” and “Our Lives” — the museum presents exhibitions of contemporary Native art from all over the hemisphere. Open daily 10 a.m. — 5:30 p.m. Located on the National Mall at Independence Avenue and 4th Street, SW. Admission is free. 202-633-1000.

Metro: L'Enfant Plaza (Maryland Avenue/Smithsonian Museums exit)

(5 minute walk from Metro to Museum)

National Postal Museum

The National Postal Museum is divided into five galleries that explore America's postal history from colonial times to the present. The galleries show how mail has been transported, emphasize the importance of letters, and spotlight the creation and wondrous diversity of postage stamps. Open daily, 10:00 a.m. — 5:30 p.m. The museum is located at 2 Massachusetts Ave., NE. Admission is free. 202-633-5555.

Metro: Union Station (Massachusetts Avenue Exit)

(3-5 minute walk from Metro to Museum)

The National Society of the Daughters of the American Revolution Museum

This museum features 33 period rooms with a superb collection of pre-1840's furnishings and a gallery with changing exhibits. It is open Monday — Friday, 8:30 a.m. — 4:00 p.m. and Saturday, 9:00 a.m. — 5:00 p.m. The Museum is located at 1776 D Street, NW. Admission is free. 202-628-1776

Metro: Farragut West (18th Street Exit)

(15-20 minute walk from Metro to Museum)

Supreme Court

Sessions, which are open to the public on a first-come, first-served basis (seating is limited), begin at 10:00 a.m. and recess at 3:00 p.m. on days of oral arguments. When the Court is not in session, free lectures are given every hour on the half hour from 9:30 a.m. — 3:30 p.m. Open Monday — Friday, 9:00 a.m. — 4:30 p.m. The Court is located at 1 First Street, NE, across from the Capitol. Admission is free. 202-479-3211, ext. 4

Metro: Union Station

(15-20 minute walk from Metro to Supreme Court)

Vietnam Veterans Memorial

Millions have filed past the somber, black granite walls of this privately funded memorial to touch the more than 58,000 names; make pencil rubbings; and leave flowers, letters, flags, and other mementos. Open daily, 24 hours a day. A park ranger is present daily, 8:00 a.m. — midnight. The memorial is located just north of the Reflecting Pool, 23rd Street and Constitution Avenue, NW at Henry Bacon Drive. Admission is free. 202-426-6841

Metro: Foggy Bottom-GWU

(45-60 minute walk from Metro to Memorial)

Washington Monument

One of the tallest masonry structures in the world, this majestic obelisk was dedicated in 1885 to the memory of the first President of the United States. A free elevator ride (timed passes are required) takes visitors to the top of the monument for a spectacular view of the city. Open daily, 9:00 a.m. — 5:00 p.m. Free tickets for a timed entrance are available at the ticket kiosk on 15th Street at the base of the monument. Arrive early as tickets are limited. 202-426-6841

Metro: Smithsonian (Mall exit)

(5-10 minute walk from Metro to Monument)

World War II Memorial

On April 29, 2004, as a service and tribute to members of the World War II Generation, the National World War II Memorial opened for public viewing. The World War II Memorial is the first national memorial dedicated to all who served during the Second World War. The memorial is open daily from 8:00 a.m. — 11:45 p.m. and is located on the National Mall between the Washington and Lincoln Memorials. Admission is free.

202-426-6841

Metro: Smithsonian (Mall exit)

(15-30 minute walk from Metro to Memorial)

All information provided is based upon current security alert status. Hours of operation are subject to change at any time. Estimated walking time from Metro to destination is based upon average to slow walkers.

TEAMWORK EXERCISE 6

WHAT INFLUENCES DO OUR GROUP'S DYNAMICS HAVE ON OUR WORK AS A TEAM?

Day, Date

10:20 a.m. — 11:50 a.m.

Purpose

The purpose of this session is twofold. The first part addresses your team's dynamics, both in terms of your process and task functions. The second part explores the effectiveness of your current collaboration.

Goals

The goals of this session are to:

- Complete a self-assessment and a group assessment of your team's group development; and
- Further diagnose the team's strengths and identify action items that will result in a more effective collaborative team in the long run.

Instructions for Part 1

Allow no more than 30 minutes to complete Part 1 of this exercise.

1. During this part of the session, turn to the graph on the following page of this exercise.
2. Working individually, draw two dots on the attached graph (one on the x axis and one on the y axis) to reflect your assessment of the level at which you believe your team is functioning in both task and process functions. Then draw a dot in the graph that connects the position of the dots on the two axes. Use the following definitions to guide your responses:

Task Functions

- **Orientation:** During this phase, the group spends a majority of its time getting oriented to information about the subject at hand. The group works to understand its environment.
- **Organization:** Based on the information collected in the previous phase, the group organizes itself to accomplish its work. The group requests data for specific subcommittee work. By this point, the group is clear on its values, vision, mission, goals, and objectives.
- **Data flow:** During this phase, the group uses the data acquired during the previous phase to gain insight into the problems they are addressing.

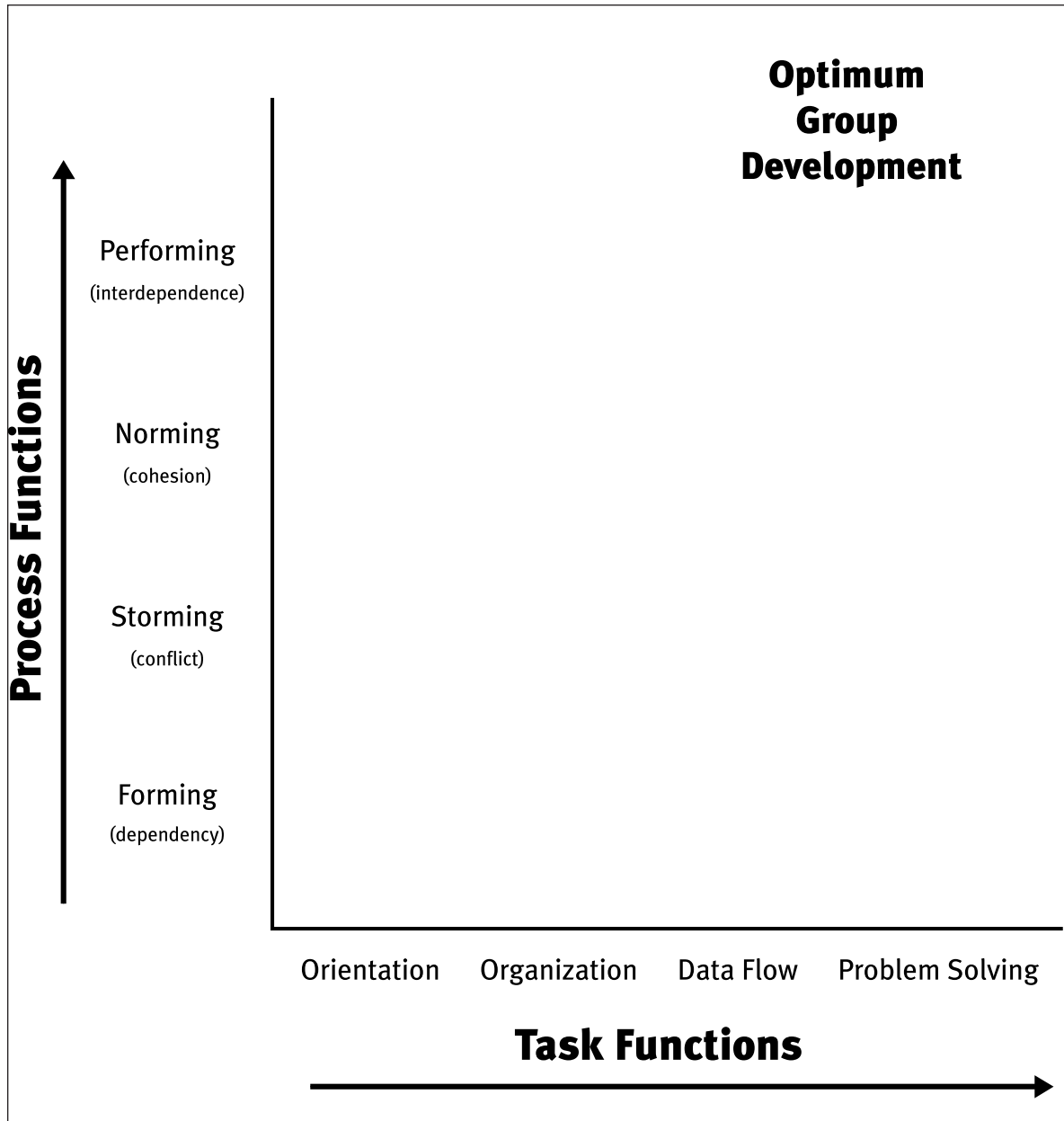
- **Problem solving:** During this phase, the group spends most of its time looking at problem-solving options, prioritizing those options, setting up interventions, and monitoring their impact.

Process Functions

- **Forming:** The first stage of group development is forming. Groups usually start in the forming stage. There is often much confusion, ambiguity, and anxiety during this stage. The major issue that groups face is who should or should not be included in the group.
- **Storming:** This is the stage in which groups must confront issues of leadership, order, and control. This stage is often characterized by conflict.
- **Norming:** This stage involves negotiating members' roles and setting group goals. Members begin to trust one another. Setting norms, defining roles, and deciding who is performing which tasks become major areas of emphasis. Openness among group members is essential. Once members gain one another's trust, the group can move to the next stage.
- **Performing:** This is the stage during which the group's identity is established and its real work is accomplished.

A group must progress through all four of these stages on both the task and process dimensions to be truly effective.

3. Your facilitator will draw a similar chart on flipchart paper and place each team member's response on the graph to demonstrate how each member's score compares with the rest of the team.
4. Next, as a team, come to consensus on the stage of your team in both the task and process dimensions. Consider the implications of your findings and whether specific steps need to be taken to improve the group's effectiveness.



Adapted by the Center for Effective Public Policy from concepts in *Group Development Assessment*, by John E. Jones and William L. Bearley. 2001 Organizational Design and Development, Inc.

INSTRUCTIONS FOR PART 2

Use the remainder of the session to complete Part 2 of the exercise.

1. Attached to this exercise is a document entitled *The Eight Characteristics of Highly Effective Teams: A Checklist*, which has been adapted from Larson and LaFasto's research on teams. Using this checklist, evaluate the effectiveness of your team. Do so by reviewing the narrative under each characteristic, then discussing, as a group, the effectiveness of your team relative to each characteristic. As needed, engage in group problem-solving and work planning to address any gaps or weaknesses you identify.

THE EIGHT CHARACTERISTICS OF HIGHLY EFFECTIVE TEAMS: A CHECKLIST

A CLEAR AND ELEVATING GOAL (VISION)

High performance teams have both a clear understanding of the goal to be achieved and a belief that the goal embodies a worthwhile or important result; teams with a ‘clear and elevating goal’ understand that whether the team succeeds clearly makes a difference.

↘ **How clear and elevating is our team’s goal (vision)?**

RESULTS-DRIVEN STRUCTURE

The importance of structure is not in its presence or absence. More important is whether a structure is in place that is appropriate for the achievement of the performance objectives. To be successful, a team’s structure should be designed around the results to be achieved.

There are three kinds of teams:

- *Problem resolution teams* — are established to resolve problems on an ongoing basis. Their most necessary feature is trust; members must believe in the integrity of their colleagues and feel secure in an atmosphere of collegiality and respect.
- *Creative teams* — are established to innovate. Their necessary feature is autonomy from systems and procedures. In other words, they must have the latitude to explore new possibilities and alternatives, be willing and able to abandon normative thinking, and serve as the incubator for new ideas.
- *Tactical teams* — are established to execute a well-defined plan. Their most essential feature is clarity in task and an unambiguous role in the carrying out of the plan.

There are four necessary features to team structure:

- *Clear roles and accountabilities* — each member’s relationship to the team is defined in terms of the role to be assumed and the results the role is to produce;
- *An effective communication system* — opportunities for team members to discuss team issues in a relaxed environment (social and informal interaction opportunities) are essential; methods for documenting issues raised and decisions made are important as well;
- *Monitoring performance and providing feedback* — establishing systems of checks and balances to assure performance meets expectations is a must; and
- *Fact-based judgments* — objective and factual data should be the basis of the team’s sound decision-making.

↘ **Do we have in place a results-driven structure?**

COMPETENT TEAM MEMBERS

Competency is defined as the necessary skills and abilities to achieve the desired objective (technical competencies) and the personal characteristics required to achieve excellence while working well with others (personal competencies).

- Technical competencies are minimal requirements of any team. They include substantive knowledge, skills, and abilities related to the specific tasks to be accomplished.
- Personal competencies refer to the qualities, skills, and abilities necessary for individual team members to identify, address, and resolve issues.

There are three common features of competent team members:

- The essential skills and abilities to conduct the work;
- A strong desire to contribute; and
- The capacity to collaborate effectively.

↘ **Do our team members meet these criteria?**

UNIFIED COMMITMENT

A unified commitment is best characterized by “team spirit,” or a sense of loyalty and dedication to the team. It is often exhibited by an unrestrained sense of excitement and enthusiasm for the team and its work; a willingness to do anything that has to be done to help the team succeed; and an intense identification with the people who are on the team.

There are two significant features of this characteristic:

- *Commitment to the effort* — teams do not excel without significant investment of individual time and energy; and
- *Unity* — group spirit and teamwork are indispensable to superior performance.

↘ **Do we have a unified commitment?**

COLLABORATIVE CLIMATE

A collaborative climate is most commonly described in the adage, “The whole is greater than the sum of its parts.” Teams operating in a truly collaborative climate work well together; and trust is a mainstay virtue.

Trust is produced in a climate that includes three elements:

- Honesty (i.e., integrity and truthfulness, absent exaggeration);
- Consistency (i.e., predictable behavior and responses); and
- Respect (i.e., treating people with dignity and fairness).

↘ **Is our climate collaborative?**

STANDARDS OF EXCELLENCE

Standards define those expectations that eventually determine the level of performance a team deems acceptable. Standards determine the type of technical competency required, the amount of initiative and effort required, how people are expected to behave with one another, how firm the deadlines are, and how the results will be achieved. Ultimately, standards dictate the rewards for success and the consequences for failure.

Pressure to perform can come from a variety of sources:

- Individual standards;
- Team pressure;
- The consequences of success or failure (reaching the clear and elevating goal/vision);
- External pressure; and
- The team leader.

Three variables are integral to establishing and sustaining standards of excellence. They are the extent to which:

- Standards are clearly and concretely articulated;
- Team members require one another to perform according to the established standards of excellence; and
- A team exerts pressure on itself to improve.

↘ **Do we have clear standards of excellence?**

EXTERNAL SUPPORT AND RECOGNITION

External support and recognition is measured by the extent to which those individuals and agencies outside the team who are capable of contributing to the team's success acknowledge and support the work of the team. (Interestingly, the external support and recognition factor seems to be more an effect of team success than a cause of it. It is noted more for its absence in poorly functioning teams than its presence in highly effective teams.)

↘ **Do we have (and need) external support and recognition?**

PRINCIPLED LEADERSHIP

Leadership can add tremendous value to any collaborative endeavor, even to the point of sparking the outcome with an intangible kind of magic. Effective leaders draw together the team's vision, a belief in the opportunity for change, and the ability to meaningfully involve others.

Effective leaders:

- Establish a vision of the future;
- Enlist others to embrace the vision;
- Create change; and
- Unleash the energy and talent of contributing members.

↘ **Do we have principled leadership?**

Adapted from concepts in *TeamWork: What Must Go Right/What Can Go Wrong* (1989), by Carl E. Larson and Frank M. LaFasto, (Newbury Park, CA: Sage Publications).

TEAMWORK EXERCISE 7

WHERE ARE WE IN OUR LIFECYCLE?

Day, Date

1:20 p.m. — 2:30 p.m.

Purpose

During the plenary session presentation, you heard an overview of material based on the lifecycle of teams and projects. This material emphasized the importance of “ideas in good currency.” It is critically important that you understand how your team’s work fits into those ideas in good currency. It is also necessary to understand that stakeholders—and therefore team members — may change as a project moves through its lifecycle. The purpose of this exercise is to help you assess the current stage in the lifecycle of your project and begin planning a strategy to improve or enhance your current work.

Goals

The goals of this session are to:

- Reflect on your project’s current stage;
- Understand how your current stage fits into the model of project lifecycles;
- Understand how your current stage translates into options for the future; and
- Flesh out and prioritize options for when you return home.

Instructions

1. If you have not completed Teamwork Exercise 3 on problem identification and mission statement development, it is strongly recommended that you complete that exercise before beginning this one.
2. As a team, discuss, and if possible, come to a consensus on your place in the lifecycle (latency, growth, peak, or decline or institutionalization). If you cannot come to a consensus, identify the place on the lifecycle on which most of your teammates can agree with qualifiers such as “our preliminary decision is ...” or “at this time we appear to be” If your group cannot come to a consensus, ask the minority, for the purposes of this exercise, to accept the majority’s opinion of where your team is on the lifecycle. However, if those in the minority prefer to use their lifecycle stage choice, they can form a second group (or third if needed) to work through this exercise.
3. Please note that your team and your project may be at different stages in their lifecycles. Even your team’s subcommittees may be at different lifecycle stages. For example, a team that has been in place for years may adopt a new project. In this situation, the project may be in the latency phase and the team may be in the institutionalization phase. If this is the case for your team, try to select the stage that is most relevant for your team at this time.

4. Select one stage on the lifecycle and begin the accompanying exercise. In all likelihood, you will not be able to finish this exercise in the allotted time. It is strongly recommended that you complete this work at home.

A. Latency: This is where your idea starts. At this stage, your team is just beginning with an idea, and possibly gaining momentum. It is advisable to begin researching funding sources and attempt to obtain financial support at this early stage, rather than later in the process.

If you are at this stage in the lifecycle, do the following:

1. Using a round-robin process to assure that all team members have the chance to participate, make two complete lists, one of your team's current strengths, the other of current weaknesses. The purpose of this exercise is to develop an exhaustive list as quickly as possible.
2. Again, using a round-robin process, make two complete lists, this time of your team's current opportunities and the current threats to the team and its work.
3. Prioritize the top three strengths and discuss ways to increase each one.
4. Prioritize the top three weaknesses and discuss ways to lessen each one.
5. Identify the top three opportunities and develop a plan to capitalize on each one.
6. Identify the top three threats and develop a plan to counter each one.

B. Growth: During this stage, your work is beginning to attract a lot of attention. You may be writing a grant, taking your message to the legislature, or talking with potential funding groups. Your idea is in demand. You know people are interested in your concept because they are asking how they can help. You need a plan to respond and capitalize on those offers by getting others on board.

1. List the work tasks that still need to be performed to bring your project to a successful conclusion.
2. Prioritize the three most important work tasks. Vote by checking or placing colored dots next to your top three priorities.
3. Next, develop an action plan for the top three items. Determine what needs to be done to accomplish each work task. Record who will take what action, and include a timeline for each action.

C. Peak: During this stage of the lifecycle, you are beginning to receive significant funding. You probably have hired support staff. Your greatest concern at this time is producing what you promised. What quality assurance measures are in place to ensure that you can

deliver? The purpose is to demonstrate your project's accountability; the caution here is to ignore your own platitudes and push hard to produce outcomes. In the long run, being in the spotlight will not necessarily carry the project into the institutionalization phase.

1. Refer back to the three problem statements prioritized in Teamwork Exercise 3: Identifying the Problems and Developing a Clear Mission. Convert each problem statement into a goal statement, identifying what it is you hope to do through your efforts to address each problem.
2. Next, develop at least one performance measure for each goal statement. This measure should be easily quantifiable.
3. Create a chart for each performance measure listing the following:
 - What information must be collected to assess this performance measure.
 - Where the information resides.
 - Who will collect the information.
 - When it will be collected.

D. Decline: The following exercise is appropriate for your team if you are planning on phasing out your project or you need to find additional funding to replace declining resources. The caution is to give extensive and thorough advance warning about the closing out of your project as well as “processing” time for employees to adjust to the phase out.

1. List all necessary closeout activities, including how all of the changes will be communicated, a timetable for the changes, explicit reasons for the changes, what you are doing to place employees in other positions, plans to celebrate what you have accomplished, and meetings with employees to elicit feedback on these changes.
2. Prioritize these activities.
3. For each closeout activity, develop a plan that includes who will take responsibility for the activity and important milestones or deadlines.

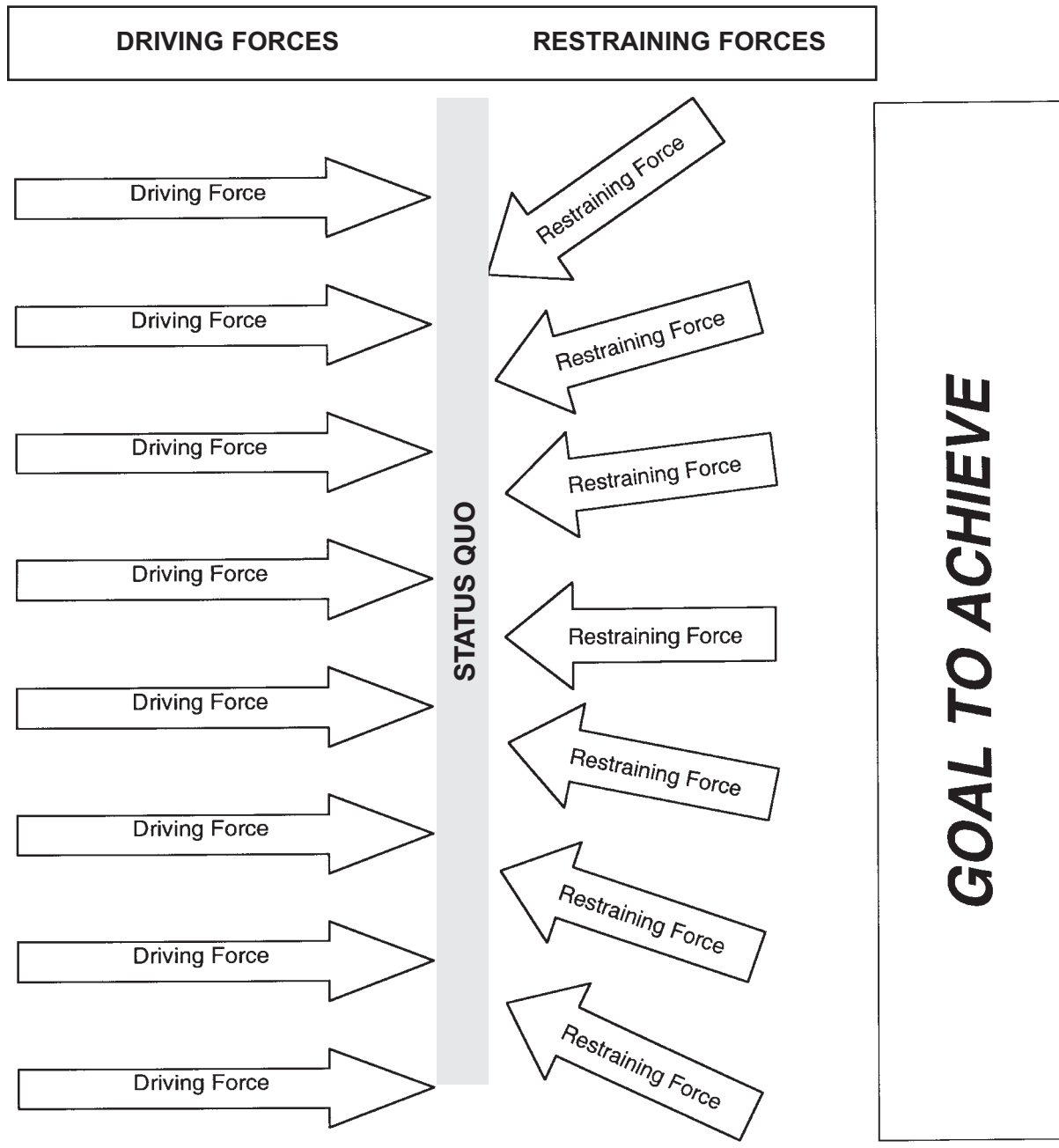
E. Institutionalization: During this stage of the lifecycle, you have a steady source of funding. Your champions are in place. You might notice, however, that your staff and leaders who worked to get the project where it is today are moving on to something else. You recognize that if you cannot maintain sufficient energy for the effort, there is a good chance that the work will get stale and the probability of future successes will be lessened. You face the question, “How can we maintain the current energy — or regain new energy — for this project and ensure that it continues long into the future?” Think of institutionalization as a continuum that can almost always be improved.

1. Do a force field analysis. A force field analysis is a common technique to identify the “forces” or factors that are working in favor of and against the achievement of a goal. (See the attached force-field analysis worksheet for instructions on this technique.) Identify one

of the goals you are working toward achieving; if you have several goals, select the one that is the most problematic. Base the force field analysis on this desired outcome.

2. Draw a force field (following the illustration here) on a flipchart and answer the following two questions: What are the forces that are driving this outcome? What are the forces that are restraining us from reaching our goal?
3. Process the implications for your future work according to the instructions on the attached Force Field Analysis Instructions sheet.

FORCE FIELD ANALYSIS



FORCE FIELD ANALYSIS INSTRUCTIONS

Introduction

The force field analysis, the technique of analyzing the conditions that support or restrain a given outcome, was developed by Kurt Lewin. Use of a force field analysis can be an effective way to both analyze an existing set of conditions and determine the most effective methods to move closer to a desired outcome.

Instructions

1. Use a large sheet of flipchart paper and draw a diagram of a force field like the one on the previous page.
2. Write the goal you are working toward on the right-hand side of the diagram.
3. Select the forces that are supporting or driving the achievement of the goal. Above each arrow pointing toward the goal, write one of these driving forces.
4. Next, determine the restraining forces that are impeding progress toward the goal. Write these above the arrows pointing away from the goal.
5. The extent to which you are achieving your goal can be assessed as the balance of supporting and restraining factors. The present situation is determined by these opposing forces. If you can alter the forces, the situation will change. Examine the diagram and evaluate those forces that are most notably impeding progress. For example, which restraining force(s) seems to be having the most significant effect? If it were removed, would the situation change enough to enable you to meet your goal? If so, how can you remove it? If it cannot be removed, would removal of several other forces provide the desired outcome?
6. Next, examine the driving forces. What can be done to increase the power of the driving forces that would offset the restraining forces? Can new driving forces be created to shift the balance?
7. Select the three most potent actions that would shift the balance in favor of achievement of your goal. Discuss and develop an action plan to address each.

TEAMWORK EXERCISE 8

IDENTIFYING THE GOALS, OBJECTIVES, AND CRITICAL WORK ACTIVITIES NECESSARY TO STRENGTHEN OUR COLLABORATION

Day, Date

2:50 p.m. — 3:35 p.m.

Purpose

During the last plenary session, the importance of developing an action plan to guide your team’s future work—and capture your discussions over the previous three days—was emphasized. During this exercise, your team will have the opportunity to identify priority goals and objectives—action steps—to assure that these goals are carried out.

Goal

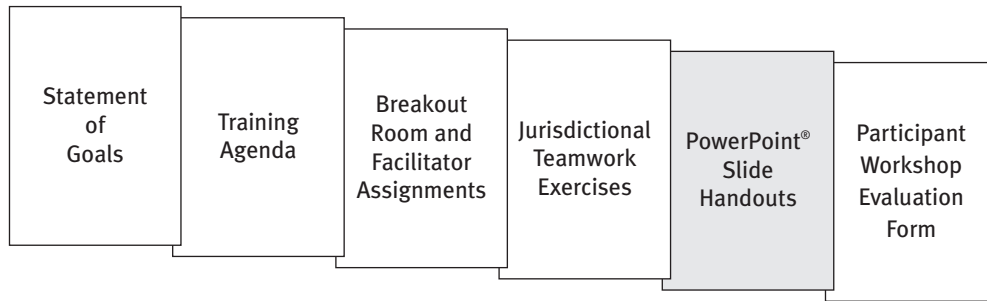
The goal of this exercise is to establish an action plan to strengthen your project’s collaborative process.

Instructions

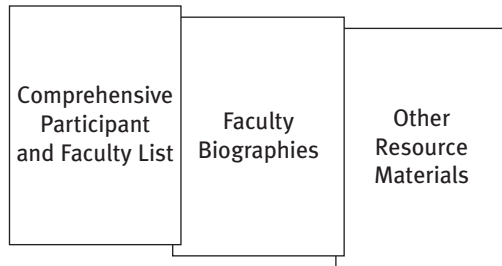
1. Identify several goals your team would like to accomplish to keep the collaborative process moving forward once you return to your jurisdiction.
2. Next, prioritize the goals you have set. You may need to discuss what constitutes a “priority” (for example, are these the things that must be done immediately or that have the greatest likelihood of helping you to achieve your mission?). The best way to determine the strength of the consensus in your group may be to provide each member the opportunity to vote for three priority tasks. To accomplish this, provide each member with three colored dots to place next to the top three priority items.
3. If there is disagreement around the priorities, talk through all of the items that received votes and attempt to develop consensus among the group on the top three.
4. Finally, develop an action plan to address at least the top three goals. Identify what the objectives for each goal are, who is responsible for ensuring each objective is accomplished, when each objective will be accomplished, and if any additional resources are needed. Continue your action planning with the other goals, if time permits.
5. Choose one of your team’s priority goals and prepare a final report-out for the full group. Create a transparency to use in your report-out that includes the following information:
 - The critical goal your team has agreed must be addressed, and up to three objectives your team will accomplish to reach this goal.
 - One important lesson learned about collaboration during the workshop.

6. Select a reporter from your team to share this information with the full group in the final plenary session.

Right Side of Packet



Left Side of Packet



POWERPOINT® PRESENTATIONS

Date
Meeting Location
City, State

**WHAT IS COLLABORATION,
AND WHAT DO WE KNOW ABOUT IT?
(POWERPOINT® PRESENTATION A)**

What is Collaboration, and What Do We Know About It?

A-1

Larson and LaFasto

- Initial Sample (examples):
 - Mt. Everest Expedition
 - U.S. Space Command
 - Presidential Commission on the Space Shuttle Challenger Accident
 - Cardiac Surgeons
 - Championship Football Teams
 - American Leadership Forum
- Hypothesis Testing—
 - Executive Management and Project Teams (multiple):
 - Baxter International
 - Dun and Bradstreet Corporation
 - Hypothesis Testing, cont.—
 - McDonald's Chicken McNugget Team
 - IBM PC Team
 - Boeing 747 Airplane Project
 - Satisfaction Testing (examples):
 - Disaster Teams
 - Theatre productions
 - USS Kitty Hawk
 - Presidential Cabinets
 - GAO and Congressional Investigation Teams
 - U.S. Navy Strike Warfare Center

Adapted from concepts in *Team Work: What Must Go Right/What Can Go Wrong*, by Carl E. Larson and Frank M. LaFasto. 1989 Sage Publications.

A-2

The Problem with Collaboration

- Is that everyone thinks they are doing it!
- "Collaboration" has become the "buzz word" of today.
 - We sign MOU's.
 - We meet once or periodically.
 - We go on doing what we've been doing for the most part, and believe we are collaborating.

A-3

Collaboration Versus...

- In fact, most people do not truly collaborate, and this inhibits their ability to become a highly effective team.
- Rather, most of us are accustomed to:
 - Networking (exchanging information);
 - Coordinating (slightly altering activities); and/or
 - Cooperating (sharing resources).

A-4

What is Collaboration?

- Collaboration reaches beyond the concepts of networking, coordinating, and cooperating.

Collaboration is working together to achieve a common goal that is impossible to reach without one another.

A-5

Characteristics of Successful Teams

- A clear and elevating goal
- A results-driven structure
- Competent team members
- Unified commitment
- A collaborative climate
- Standards of excellence
- External support and recognition
- Principled leadership

A-6

A Clear and Elevating Goal

- **High performance teams have both a clear understanding of the goal to be achieved and a belief that the goal embodies a worthwhile or important result.**
 - The greater the clarity of understanding regarding the nature of the problem being addressed, the more effective people are at solving the problem.
- **A clear and elevating goal is also one that is just beyond reach but nonetheless possible (mountain climbing, pioneering surgery, team-based athletic achievements).**
 - The degree of challenge, the sense of urgency, the belief that the accomplishment will make a significant and measurable difference (cessation of an epidemic) makes the work compelling.

A-7

A Results-Driven Structure

- The importance of structure is not in its presence or absence. More important is whether a structure is in place that is appropriate for the achievement of the performance objectives.
- To be successful, a team's structure should be designed around the results to be achieved.

A-8

Three Kinds of Teams

- **Problem resolution teams** – established to resolve problems on an ongoing basis. Most necessary feature is trust; members must believe in integrity of colleagues and feel secure in an atmosphere of collegiality and respect.
- **Creative teams** – established to innovate. Necessary feature is autonomy from systems and procedures. Need the latitude to explore new possibilities and alternatives, abandon normative thinking, and incubate new ideas.
- **Tactical teams** – established to execute a well-defined plan. Most essential feature is clarity in task and an unambiguous role in the carrying out of the plan.

A-9

Four Necessary Features to Team Structure

- **Clear roles and accountabilities** – relationships defined in terms of role to be assumed and results to be produced.
- **An effective communication system** – social and informal interaction opportunities are essential; methods for documenting issues raised and decisions made are important as well.
- **Monitoring performance and providing feedback** – establishing systems of checks and balances to assure performance meets expectations is a must.
- **Fact-based judgments** – objective and factual data should be the basis of the team's sound decisionmaking.

A-10

Competent Team Members

- "Competent" team members are those best equipped to achieve the team's objectives.
- **Competency**, the necessary skills/abilities to achieve the desired objective (technical competencies) and the personal characteristics required to achieve excellence while working well with others (personal competencies).
- **Technical competencies** are minimal requirements of any team: substantive knowledge, skills, and abilities related to the specific tasks at hand.
- **Personal competencies** refer to the qualities, skills, and abilities necessary for the individual team members to identify, address, and resolve issues.

A-11

Three Common Features of Competent Team Members

- The essential skills and abilities to accomplish the work;
- A strong desire to contribute; and
- The capacity to collaborate effectively.

A-12

Unified Commitment

- Perhaps the most elusive of the eight traits. It is best characterized by:
 - Team spirit;
 - A sense of loyalty and dedication to the team;
 - An unrestrained sense of excitement and enthusiasm about the team;
 - A willingness to do anything that has to be done to help the team succeed;
 - An intense identification with the people who are on the team;
 - A loss of self (There is no "I" in T-E-A-M); and
 - The unique (dare we say, emotional?) experience of being a part of something special, something effective, something productive.

13

A-13

It is Challenging to Build a Unified Commitment Deliberately and Systematically

Involvement enhances commitment.

- There is a direct positive relationship between involvement and commitment.
- Participation increases motivation, effort, and ultimately, success.
 - Involvement requires clear leadership – the leader must be able to articulate the goal and the consequences for achieving or not achieving it. If members can be involved in defining or shaping the vision, all the better. At a minimum, involvement occurs when team members become actively engaged in planning the strategies that will lead to goal achievement.

14

A-14

A Collaborative Climate

- The whole is greater than the sum of the parts.
- Working well together.
- Characterized by structural differentiation (roles, responsibilities, accountabilities), and a climate created among the leader and all team members.
- Trust is a mainstay virtue.

15

A-15

Trust is Produced in a Climate that Includes Four Elements

- **Honesty** – integrity, truthfulness, and an absence of exaggerations;
- **Openness** – a willingness to share and be receptive to new ideas;
- **Consistency** – predictable behavior and responses; and
- **Respect** – treating others with dignity and fairness.

16

A-16

Standards of Excellence

- A standard is the pressure to achieve a required or expected level of performance.
- Standards define those expectations that eventually determine whether the level of performance is acceptable.

17

A-17

Standards Establish...

- Type of technical competency required;
- Amount of initiative and effort required;
- Group's expectations regarding how members will behave toward one another;
- Firmness of deadlines; and
- Ways in which results will be achieved.

Standards are primarily, if not completely, driven by members' values and principles.

18

A-18

External Support and Recognition

- The team is given the resources it needs to get the job done.
- The team is supported by those individuals and agencies outside the team who are capable of contributing to the team's success.
- The team is sufficiently recognized for its accomplishments.
- The reward and incentive structure is clear, viewed as appropriate by team members, and tied to the team's performance.

19

A-19

Principled Leadership

- Leadership can add tremendous value to any collaborative endeavor, even to the point of sparking the outcome with an intangible kind of magic.
- Effective leaders draw together – often in a seemingly effortless yet inspiring way – vision, a belief in the opportunity for change, and the ability to meaningfully involve others.

20

A-20

Effective Leaders

- Establish a vision of the future;
- Enlist others to embrace the vision;
- Create change; and
- Unleash the energy and talent of contributing members.

21

A-21

Establishing or Enhancing Your Collaborative Team

- Establishing clear expectations of one another
 - Ground rules
 - Roles and responsibilities
 - Values and principles
- Building team spirit
 - Team building exercises (collaboration survey, true colors, experiential learning exercise)
- Clearly defining your outcomes
 - Vision, mission and goals
 - Work planning

22

A-22

Introduction to Teamwork Exercise 1

Working Together: A Profile of Collaboration
"The Collaboration Survey"

23

A-23

The Collaboration Survey

- Designed to help teams assess in a structured way the condition of their collaborations, and to identify their specific collaboration needs.
- Developed by David Chrislip and Dr. Carl Larson (*Collaborative Leadership: How Citizens and Civic Leaders Can Make a Difference*, San Francisco: Jossey-Bass, 1994).
- Based on their observations and research on highly functioning, successful collaborative teams.

24

A-24

Teams Studied by Chrislip and Larson

- More than 50 from across the country
- Local, regional, or statewide
- The problems they addressed:
 - Were vexing and complex (race relations, crime, drug abuse, unemployment, housing, education, pollution)
 - Crossed the bounds of agency and discipline, and the private and public sectors
- Each produced concrete, tangible, and positive results.
 - One team that was studied significantly reduced the number of juveniles held in detention facilities.

25

A-25

Factors Associated with Successful Collaborations

- Chrislip and Larson identified many factors that parallel and comport with the eight characteristics just described
- They fit into five broad "dimensions of collaboration" which form the basis of the Collaboration Survey

26

A-26

The Survey's Five Dimensions

1. The context of your collaboration (*why you are working together*)
 - Is now a good time to address this criminal justice issue?
 - Is the situation critical?
2. The structure of your collaboration (*how you are organized to do your work together*)
 - Do you have access to the information you need?
 - Are the right people at the table?
 - Do you have ground rules and operating norms to guide your work?
 - Are team member roles, responsibilities, and expectations of one another clear?

27

A-27

The Survey's Five Dimensions

3. Your team members' skills and attitudes (*what members contribute to the collaborative process*)
 - Are members willing to devote whatever effort is necessary to achieve the goals of the group?
 - Do members trust each other?
4. The collaborative process that you are using (*how you do your work on a regular basis*)
 - Are divergent opinions expressed and heard?
 - Do you have an effective decisionmaking process?
 - Are you action-oriented?
 - Do you consistently celebrate your successes as you move forward?

28

A-28

The Survey's Five Dimensions

5. The results of your collaboration (*how your collaboration is impacting the problem*)
 - Do you have concrete, measurable goals?
 - Do you monitor your performance and provide feedback on goal attainment efforts?
 - Do you confront and resolve performance issues?

29

A-29

Completing the Survey

- Your facilitator will distribute it.
- Consider the team that is represented at this workshop as you fill it out.
 - Include members who were unable to attend the workshop.
 - You may have one or (many) more new members at the table.

30

A-30

Completing the Survey

- Answers are on a scale of 1 to 4
 - *True (1)*
 - *More True Than False (2)*
 - *More False Than True (3)*
 - *False (4)*
- You may not have enough information to answer every question
 - This is fine!
 - Mark these questions as *False (4)*

31

A-31

Completing the Survey

- Pass your completed surveys back to your facilitator so that s/he can aggregate the responses.
- Your facilitator may ask for a volunteer from your team to assist with the aggregation process.
- Pick up your lunch and proceed to your team's meeting room where you will process the results of the survey (which will provide you with a "snapshot" of the current state of your collaborative team).

32

A-32

A Suggested Next Step...

- Consider taking the survey and discussing the results as a team every six months or so to assess your ongoing efforts to improve your collaboration.

33

A-33

**THE IMPORTANCE OF VALUES AND VISION
TO THE WORK OF A COLLABORATIVE TEAM
(POWERPOINT® PRESENTATION B)**

The Importance of Values and Vision to the Work of a Collaborative Team

1

B-1

A Collectively Developed Vision

One of the key ingredients for any successful collaborative effort is for the members of the group to develop and share a common vision about the purpose and direction of their team's work.

2

B-2

Values

- In helping the team to develop its vision, individual members need to reflect on some of the things that they believe to be generally true – beliefs that will probably affect their actions and their decisions as members of the group.
- Our personal perspective is affected by our personal values. Values are deeply held beliefs, ideals, and principles.

3

B-3

We Utilize our "Values" in Making Decisions

- Values come from our personal "bedrock" or foundation.
- Values are the underpinnings of people's choices – we call upon them when we make decisions.
- Values may be hard to articulate, or for others to "see," but they have an influence on the behavior of the team and its members.

4

B-4

Statements Reflecting Values

- *"Far and away the best prize that life offers is the chance to work hard at work worth doing."*
Theodore Roosevelt, September 7, 1903
- *"There is as much dignity in tilling a field as in writing a poem."*
Booker T. Washington, 1901
- *"Well done is better than well said."*
Benjamin Franklin, 1737

5

B-5

Statements Reflecting Values

- *"The right to be left alone is that most valued by civilized man."*
Louis D. Brandeis, 1928
- *"With public sentiment, nothing can fail; without it, nothing can succeed."*
Abraham Lincoln, August 21, 1858
- *"A page of history is worth a volume of logic."*
Oliver Wendell Holmes, Jr., 1921

6

B-6

Consider your personal values

- In the workplace, what behaviors or qualities do you strive to demonstrate?
- In working with others, what types of qualities do you expect them to exhibit?

7

B-7

Characteristics of Successful Teams

- A Clear and elevating goal
- A results driven structure
- Competent team members
- **Unified commitment**
- **A collaborative climate**
- **Standards of excellence**
- External support and recognition
- Principled leadership

8

B-8

Vision

A statement of the preferred future

9

B-9

Vision Provides Direction and Purpose

- Teams need to have a written statement that reflects the intended or ultimate destination for their area of interest.
- This statement should provide direction and purpose for their collaborative effort.
- A vision statement helps your team understand where it is going.
- It does *not* tell you how to get there.

10

B-10

Statements Reflecting a Vision

- *"I have a dream that one day this nation will rise up and live out the true meaning of its creed: We hold these truths to be self-evident that all men are created equal."*
Martin Luther King, Jr., August 28, 1963

11

B-11

Statements Reflecting a Vision

- *"The world's wealthiest nation can never be satisfied until we are the world's healthiest nation."*
Lyndon B. Johnson, March 31, 1966
- *"To be prepared for war is one of the most effectual means of preserving peace."*
George Washington, January 8, 1790

12

B-12

Statements Reflecting a Vision

"Down the long lane of history yet to be written America knows that this world of ours, ever growing smaller, must avoid becoming a community of dreadful fear and hate, and be, instead, a proud confederation of mutual trust and respect."

Deight D. Eisenhower, January 17, 1961

13

B-13

Statements Reflecting a Vision

- *"Together let us explore the stars, conquer the deserts, eradicate disease, tap the ocean's depths, and encourage the arts and commerce."*

John F. Kennedy, January 20, 1961

14

B-14

Qualities of a Vision Statement

1. A vision statement identifies your intended destination or direction (indicating where you want to go).
2. It reflects the values, ideals and principles of the members of your team (reflecting the things that you collectively believe).
3. It is an expression of optimism (it is a positive message).

15

B-15

Qualities of a Vision Statement

4. It is lofty and compelling (it pulls us forward and energizes us).
5. It is broad and general in nature (not weighted down with specifics).
6. It can be easily understood.

16

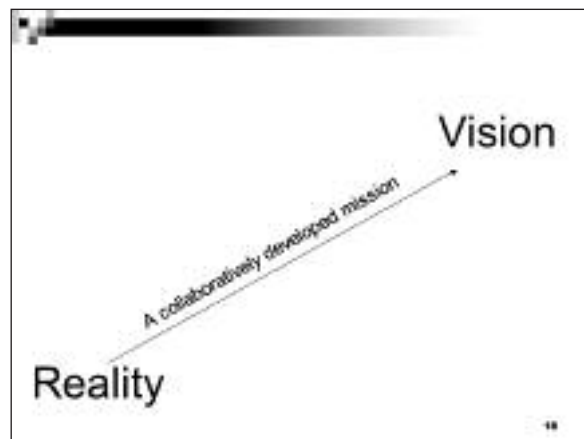
B-16

Proposed vision statement – 7th American Forest Congress

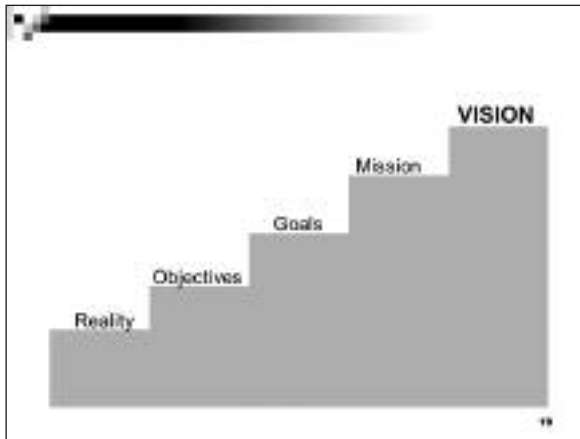
- The great American forest, since our nation's founding, has provided the resources to build our homes, our schools, our churches – it has provided the inspiration for our philosophers, our poets, our artists. Working together we can continue to improve, enhance and protect this great natural resource to help ensure that we have healthy forests with clean water, clean air, abundant wildlife, wilderness, and working forests in harmony with the needs of all Americans and for the generations yet to come.

17

B-17



B-18



B-19

Characteristics of Successful Teams

- A clear and elevating goal
- A results-driven structure
- Competent team members
- Unified commitment
- A collaborative climate
- Standards of excellence
- External support and recognition
- Principled leadership

20

B-20

●What is your team's vision of the future?

21

B-21

**IDENTIFYING PROBLEMS AND
DEVELOPING CLEAR MISSIONS
(POWERPOINT® PRESENTATION C)**

Identifying Problems and Developing Clear Missions

1

C-1

Problem Identification

- A team is formed because problems are perceived to exist.
- Before a team develops a mission statement, however, it (or a higher authority) should invest some time trying to identify the problem or set of problems on which the team will work.

2

C-2

The Problem With Trying to Solve Problems

- Unfortunately, individuals and teams are often not very good at focusing on the true nature of the problems that are before them.
- Failing to properly identify the real problem or problems means that a team will not spend its time working on the right issues.

3

C-3

Why We Struggle With Solving Difficult Problems

There may be many reasons why we are often not good at solving big issues, and they might include:

1. We focus on surface issues and not underlying causes;
2. We jump to conclusions before we get the pertinent and necessary information;
3. We prefer to give the answer rather than state the problem;
4. We don't pool our information very well.

4

C-4

Developing a Mission-focus

1. Gain a clear idea about the nature of the problems that are before you.
2. Try to identify which of these problems are most critical for your team to work on.
3. Collectively determine which problems will form the focus of the team's mission.
4. Keep in mind that this mission, once accomplished, should demonstrate meaningful progress in the direction of your vision.

5

C-5

Mission Statement

- In addition to being consistent with your vision statement, your mission statement should:
 - provide a focus for and create parameters for your work;
 - convey information about your beliefs and values; and
 - express the destination for your team.

6

C-6

Mission and Goals

Once you have settled on your mission statement, you must establish a *critical path* to follow toward your ultimate purpose.

The elements that must be successfully addressed along this path become *specific goals* for your project.

7

C-7

Mission and Objectives

Once you have identified the goals to be accomplished, you will have to decide on the precise steps to take to best achieve each goal. These steps are your *project tasks or objectives*.

8

C-8

Characteristics of Successful Teams

- *A clear and elevating goal*
- *A results-driven structure*
- *Competent team members*
- *Unified commitment*
- *A collaborative climate*
- *Standards of excellence*
- *External support and recognition*
- *Principled leadership*

9

C-9

Example: Unclear Mission

To accelerate efforts in space exploration.

(This might be a fine vision, but it doesn't help us to understand exactly what we should try to do as a team.)

10

C-10

Example: Clear Mission

To land a person on the moon by the end of the decade.

11

C-11

Example: Unclear Mission

To improve mental health services for incarcerated adults and juveniles.

12

C-12

Example: Clear Mission

By December of next year, to meet or exceed all appropriate national correctional and community standards regarding the provision of mental health services for adult and juvenile offenders who are incarcerated in our state.

13

C-13

Creating or Improving Your Mission Statement

1. Collectively identify the true problems that may be preventing you from moving in the direction of your vision.
2. Specifically identify which of these problems your team is going to work on.
3. Make sure that there is consensus about the problems to be addressed by your team.

14

C-14

Creating or Improving Your Mission Statement

4. Start with the end in mind – identify the outcomes that you are striving to achieve as a team regarding the problems that you have collectively decided to work on.
5. Create appropriate parameters, such as time frames, to help you stay on track.

15

C-15

Conclusion

- Remember, "your mission statement . . . is a guiding tool for team members."
Cynthia D. Scott, Dennis T. Jaffe, and Glenn H. Tolan
Organizational Values: Values and Mission
- Make your mission statement visible. It might help to start your meetings by reviewing your mission statement each time.
- Make good use of this tool and it will help your team to spend its time and energies wisely.

16

C-16

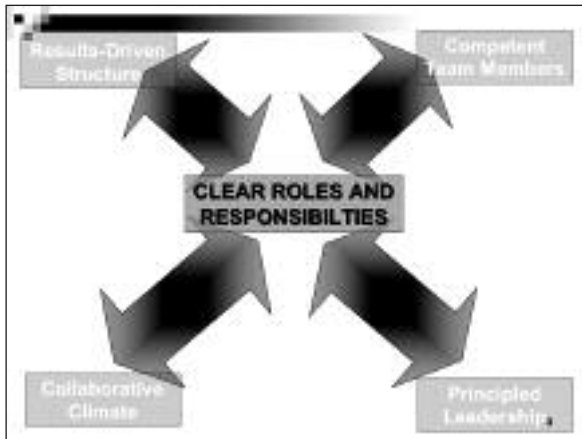
**ROLES AND RESPONSIBILITIES OF TEAM MEMBERS
(POWERPOINT® PRESENTATION D)**



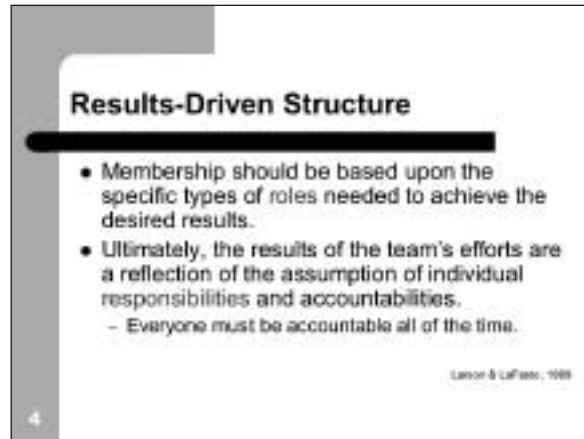
D-1



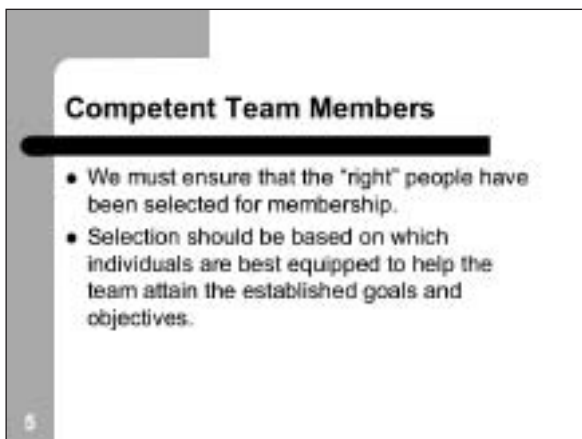
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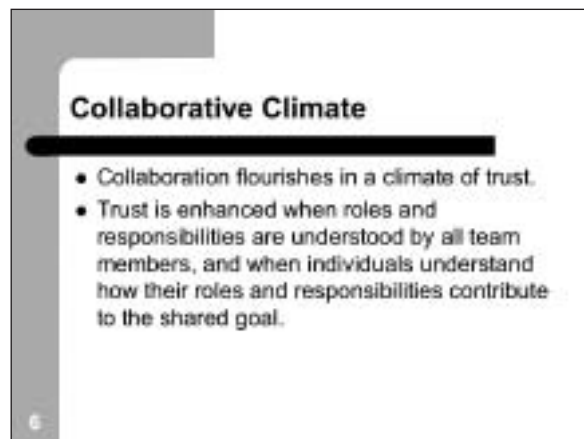
D-3



D-4



D-5



D-6

Principled Leadership

- Effective leaders establish clear performance standards and expectations (i.e., the roles and responsibilities within the team):
 - What the team can expect from the leader;
 - What the leader can expect from the various team members; and
 - What the team members can expect from one another.
- Effective leaders also ensure the presence of a supportive decisionmaking climate, such that team members:
 - Are given meaningful roles and responsibilities, and are supported in those roles;
 - Have the confidence to take healthy risks and make choices that result in action and forward movement; and
 - Become personally invested in the outcome.

7

D-7

Levels of Team Success

- Complete and total success
- Marginal success
- Total failure

8

D-8

What Factors Led To Less-Than-Successful Outcomes?

9

D-9

Dysfunctions Within Teams

- Lack of commitment
- Inattention to results
- Fear of conflict
- Absence of trust
- Avoidance of – or absence of – accountability
- Lack of clarity among the team members regarding roles, responsibilities, and expectations

10

D-10

Unique Internal Resources

- Ideally, team members are selected for inclusion because they possess unique characteristics, attributes, or internal resources that can contribute to the success of the project:
 - Knowledge
 - Skills
 - Experience
 - Influence
 - Talents
 - Attitude
 - Enthusiasm
 - Motivation
- These distinct features lead to the assignment – or assumption – of unique roles and responsibilities within the context of the team or project.

11

D-11

Definitions: Roles and Responsibilities

- Role is an individual's position – or the part one plays – in a particular operation or process.
- Responsibilities are the expectations or obligatory functions associated with a particular position – or the duties for which the individual is held accountable.

12

D-12

2 Types of Roles

- Formal
- Informal

13

D-13

Formal Roles

- Describe "who" is responsible for "what";
- Generally assigned or matched to individuals based on specific knowledge, skills, and talents possessed by the individuals;
- Should be assigned in a manner that maximizes individual resources and ensures the successful fulfillment of responsibilities.

14

D-14

Examples of Formal Roles

- Agency roles
- Project roles
 - Team leaders
 - Team members
- Task or meeting roles

| | |
|---------------|--------------|
| - Facilitator | - Timekeeper |
| - Notetaker | - Scribe |

15

D-15

Informal Roles

- Describe "how" individuals approach and impact the work of the team;
- Assumed by individuals as a result of their natural instincts, personalities, attitudes, motivations, and styles;
- Should be recognized – and addressed, if necessary – in order to:
 - maximize the potential and productivity of the team;
 - reduce negative conflict, frustration, and disruption.

16

D-16

Examples of Informal Roles

- The caretaker
- The spokesperson
- The comedian
- The complainer

17

D-17

Examples of Informal Roles

| | |
|-------------|-----------------|
| ● Catalyst | ● Antagonist |
| ● Optimist | ● Pacifist |
| ● Pessimist | ● Loyalist |
| ● Realist | ● Perfectionist |
| ● Defeatist | |

18

D-18

Common Responsibilities for All Team Members

- Participate actively in all meetings.
- Help with administrative tasks
- Complete assignments between meetings
- Communicate progress to colleagues
- Make recommendations for changes

19

D-19

Role Expectations

- Teams function best when members agree upon and share a **common understanding** of each others' roles and responsibilities.
- Role expectations are behaviors that are expected or prescribed by other members of the team.
- The diverse experiences, interests, and perceptions of individual team members may lead to different expectations about the roles of other team members.

20

D-20

Role Ambiguity

- Role ambiguity refers to discrepancies between:
 - What team members expect of one another, and
 - What the individual members perceive their own roles to be.
- This ambiguity often results when roles are either
 - Poorly defined.
 - Not defined at all, or
 - Not clearly understood.
- Although a natural phenomenon within teams, these discrepant perceptions and ambiguities can have a negative impact on the success of the team.

21

D-21

How Many Squares Do You See?

22

D-22

What's The Point?

- It is important to recognize that individuals on teams may have different perceptions.
- When part of a team, individual members must openly discuss their perceptions – particularly when they involve perceptions of roles, responsibilities, and expectations.
- By discussing these differing perceptions, a common understanding of – and clarity about – roles and responsibilities can be achieved.

23

D-23

Pathway to Successful Team Relationships

24

D-24

Role Analysis and Clarification

- Individuals outline their own roles as they perceive them.
- Individuals list perceived expectations of each of their fellow team members.
- Team members discuss discrepancies, clarify and agree upon role expectations, and prepare written role profiles to guide their future work.

25

D-25

Results of Role Clarification

- Teams are more productive.
 - More attention to critical detail
 - More accountability
 - Less duplication of effort
 - Less confusion & frustration
- Team members look beyond their own individual roles and responsibilities and learn to understand, respect, and value the unique contributions of one another.
- Individual members recognize that the overall success of the team is a function of shared responsibility and ownership.

26

D-26

“It is amazing what you can accomplish if you do not care who gets the credit.”

-Harry S. Truman

27

D-27

Role Clarity as a Function of Leadership Style

- Role clarification is not only about clearly delineating the specific roles of each individual member of the team.
- Understanding roles and responsibilities of team members within the context of leadership is important as well.
- Depending upon the style of leadership employed within the team, the roles and responsibilities of the team members and the leader may vary significantly.

28

D-28

Distinct Leadership Styles

- Autocratic
- Independent
- Interdependent

29

D-29

The Interdependent Leadership Style

- Fosters understanding and valuing of the unique roles, responsibilities, and contributions of each team member;
- Builds and reinforces recognition and mutual support within the team;
- Stimulates team members to greater levels of accomplishment;
- Leads to a shared commitment to support and accomplish agreed upon goals.

30

D-30

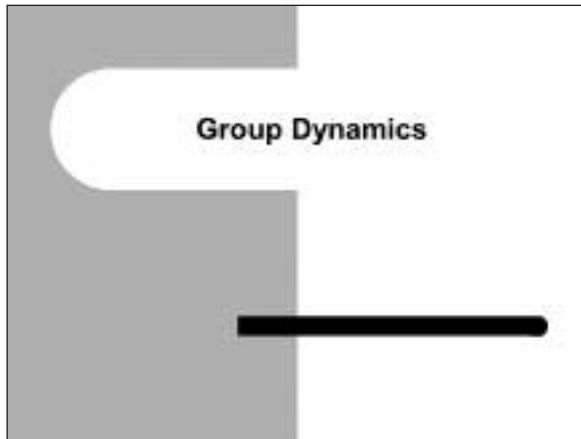
Thinking About Your Team

- What role do you expect to play – and what are your responsibilities – on the team? What do you have to contribute?
- What are your expectations of the other members of your team? What do they have to contribute?
- What clarifications of roles and responsibilities are necessary?
- What leadership style currently operates within your team?
- What is your preferred leadership style?

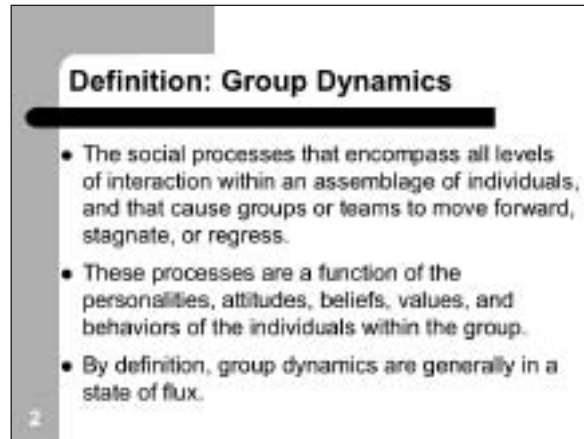
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D-31

GROUP DYNAMICS (POWERPOINT® PRESENTATION E)



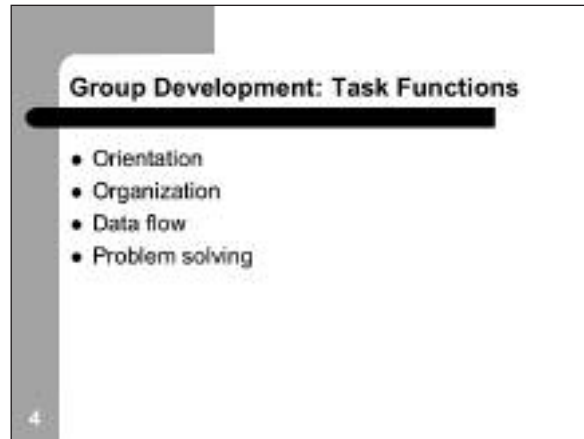
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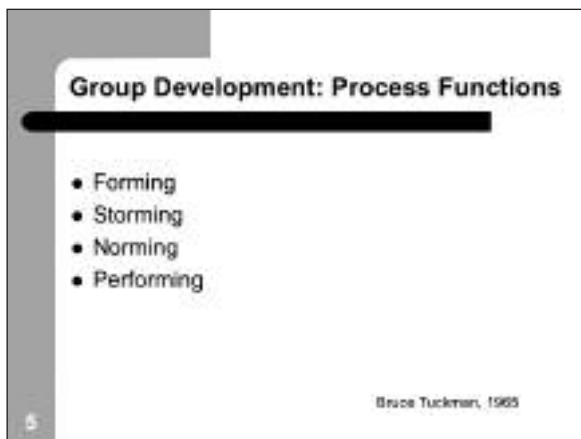
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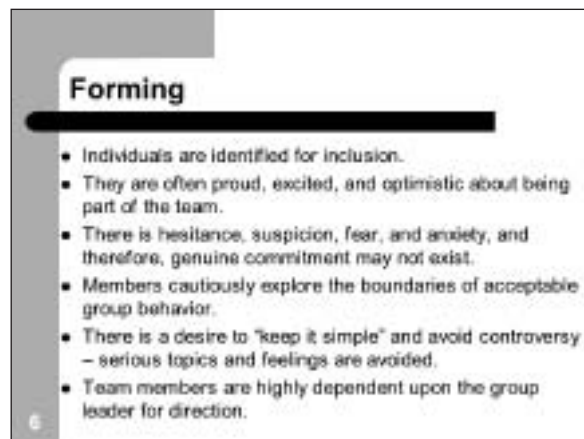
E-3



E-4



E-5



E-6

Storming

- Conflicts over leadership, power, authority, roles, and responsibilities begin to emerge.
- Defensiveness and competitiveness increase, and members begin to "split" and "take sides."
- Arguments occur even when team members agree about the real issue.
- Because of the discomfort and lack of trust that exists during this stage, some members may remain completely silent while others attempt to dominate.
- There is vacillation between believing that the team will succeed and assuming that the team will fail.

E-7

Norming

- Members begin to appreciate the unique skills and contributions that exist among the various individuals.
- Roles and responsibilities are negotiated and clarified.
- Members begin to experience a sense of group belonging and identify common goals.
- Cohesion and trust begin to emerge.
- Members are willing to listen to – and value – the information and opinions presented by other members.
- Individuals begin to demonstrate commitment toward achieving results – anxiety about the ability of the team to achieve success decreases.

E-8

Performing

- Cohesion, trust, morale, and commitment are high.
- Members become both task and process oriented.
- Conflict is managed effectively and is recognized as important for growth.
- Members problem-solve effectively, and productivity and effectiveness are maximized.
- The capacity of the team expands to true interdependence – members are able to work independently, in subcommittees, or as a total unit.
- Consistent progress is made toward goal attainment; successes are celebrated, and new goals are identified.

E-9

Group Development: A Graphic Analysis

(Jones and Bealey, 2001)

The graph plots four stages of group development on a coordinate system where the vertical axis represents 'Process Function' and the horizontal axis represents 'Task Function'. The stages are:

- FORMING (dependence):** Low process function, low task function.
- STORMING (conflict):** Low process function, high task function.
- NORMING (cohesion):** High process function, low task function.
- PERFORMING (interdependence):** High process function, high task function.

E-10

The Five Dysfunctions of a Team

The diagram is a pyramid divided into five horizontal layers, representing the following dysfunctions from top to bottom:

- Inattention to Results
- Avoidance of Accountability
- Lack of Commitment
- Fear of Conflict
- Absence of Trust

E-12

Dysfunction #1: Absence of Trust

- Trust is a critical ingredient for a functioning, cohesive team – without it, teamwork is all but impossible.
- It is reflected in the confidence among team members that their peers' intentions are good, and that it is safe to be vulnerable with one another.
- When trust is absent, team members waste considerable energy on self-protection, and are consequently less able to focus their efforts on the project goals.
- An absence of trust prevents the team from being able to mature and collaborate fully.

E-13

**Dysfunction #2:
Fear of Conflict**

- Conflict is often seen as “taboo,” particularly within the context of work groups or collaboratives.
- In actuality, however, teams require productive and healthy conflict in order to develop and flourish.
- Ironically, team members tend to spend a considerable amount of time and energy avoiding the very kind of passionate debate that is essential to team development.

13

E-13

**Dysfunction #3:
Lack of Commitment**

- In the context of team work, commitment is a function of:
 - Clarity; and
 - Buy-in.
- When the direction and priorities remain ambiguous, members have no reason to feel invested.
- If group members do not “believe in” the vision and mission of the team, commitment will be absent.
- It is impossible to move forward toward the attainment of goals without the commitment of all team members.

14

E-14

**Dysfunction #4:
Avoidance of Accountability**

- A common tendency is for team members to avoid addressing performance or behaviors that are interfering with the performance of the team.
- As a result, resentment and hostility develop among those who are doing their fair share.
- Without accountability for each individual team member, the ability of the team as a whole to produce, progress, and succeed is compromised.

15

E-15

**Dysfunction #5:
Inattention to Results**

- A significant liability exists within teams when individual members begin to care about something (e.g., individual or personal goals) other than the collective goals of the group.
- An unrelenting focus on a clear and elevating vision – and the specific goals and objectives that will lead to it – is essential.

16

E-16

**Managing Group Dynamics
Effectively**

E-17

Establish Group Norms

- To maximize the effectiveness of a group, a culture or environment must be established that promotes productive interactions.
- Ideally, group leader(s) and members will develop operating norms – or rules of conduct – that may be:
 - Prescriptive; or
 - Proscriptive.

18

E-18

**Operating Norms or Ground Rules:
Examples of Areas to be Addressed**

- Attendance
- Promptness
- Handling conflict
- Participation
- Communication
- Confidentiality
- Assignments
- Breaks
- Rotation of responsibilities
- Regular meeting time and location
- Decisionmaking

19

E-19

**Identify – and Address, if Necessary –
the Attitudes of Team Members**

- Enthusiastic
- Helpful
- Hesitant
- Indifferent
- Uncooperative
- Opposed
- Hostile

20

E-20

Dealing With Group Problems

- Anticipate and prevent problems whenever possible.
- Think of each problem as a group problem.
- Neither overreact nor underreact.

21

E-21

Ways to Manage Dynamics Effectively

- Put out fires quickly.
- Praise the efforts of colleagues publicly.
- Help to shift the group out of a blame focus when difficulties arise.
- Tactfully decline “do my work” invitations from colleagues during group meetings.

22

E-22

Ways to Manage Dynamics Effectively

- Stay off the “high horse.”
- Contribute appropriately to verbal give-and-take.
- Stick to the agenda – and encourage others to do so as well.
- Respect a colleague’s need to leave meetings at the appointed ending time.

23

E-23

**Recognize Ways in Which Members
Contribute to Positive Dynamics**

- Encouraging others
- Reducing tension
- Resolving disagreements
- Noticing group feelings
- Suggesting methods or procedures
- Seeking information or opinions
- Giving information or opinions
- Clarifying and elaborating ideas
- Summarizing
- Checking decisions

24

E-24

What are the dynamics within your team?

How effective is your team?

E-25

Assessing Groups

Norms:

- Have ground rules been established?
- Have members avoided developing them?
- How do members feel about the presence or absence of ground rules?
- Do team members adhere to the ground rules?

E-26

Assessing Groups

Participation:

- Do all members attend meetings regularly?
- What is the overall level of participation?
- What are individual levels of participation and engagement?
- Have there been any recent changes in levels of participation?
- Who talks to whom?
- Are there subgroups or cliques?

E-27

Assessing Groups

Influence:

- Which members are highly influential? Why?
- What are the effects of such influence on group members?
- Who has little to no influence in the group? Why?
- Is there a leadership struggle?
- Are there rivalries?

E-28

**"Coming together is the beginning.
Keeping together is progress.
Working together is success."**

—Henry Ford

E-29

TEAM AND PROJECT LIFECYCLES (POWERPOINT® PRESENTATION F)

Project Lifecycles

Ideas in "good currency" drive projects and their funding

1

F-1

Respect and Value

A public organization cannot simply state a desired mission; it must earn respect and value from those who fund it and use its services and from the larger society.

2

F-2

Ideas In Good Currency

- Only 8–12 at any one time. Powerful motivators for action.
- Influential in guiding public policy.
- Driven by public opinion.

3

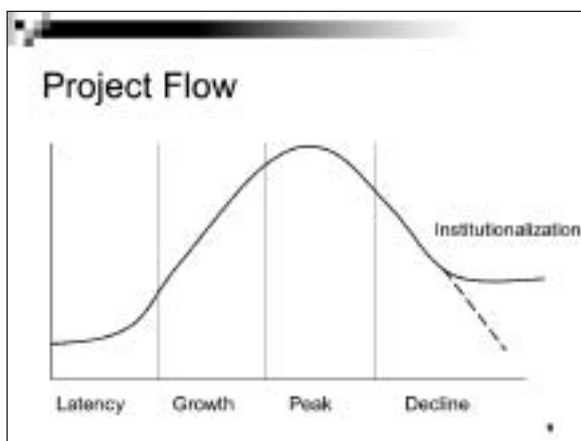
F-3

Four Stages

- Latency
- Growth
- Peak
- Decline or institutionalization

4

F-4



F-5

Latency

- New idea
- Only a few advocates
- Requires risk taking
- No funding available
- Requires a champion
- Often seen as a "fringe" idea
- Many fail to gain funding

6

F-6

Growth

- Often rapid
- Large number of people involved
- The idea receives extensive attention
- Excitement
- Chaos

7

F-7

Peak

- Maturation
- Leveling off of interest
- May still dominate policy discussions
- Continues to draw resources

8

F-8

Decline

- Idea has not lived up to expectations.
- Idea bounces back and forth with partial funding or resources.
- Idea replaced with a new initiative.

9

F-9

Institutionalization

- Idea obtains more secure funding.
- Idea has "ups and downs."
- Some major players "let go" because they think the issue is solved.
- Burden shifts to one or two persons.

10

F-10

Characteristics

- Lifecycle may be short (only a few months).
- Resources often lag at first but accelerate after the idea peaks.
- Lifecycle may be long (e.g., "war on drugs").
- Idea may return to latency phase, then resurface.
- New ideas often drive out older ideas.

11

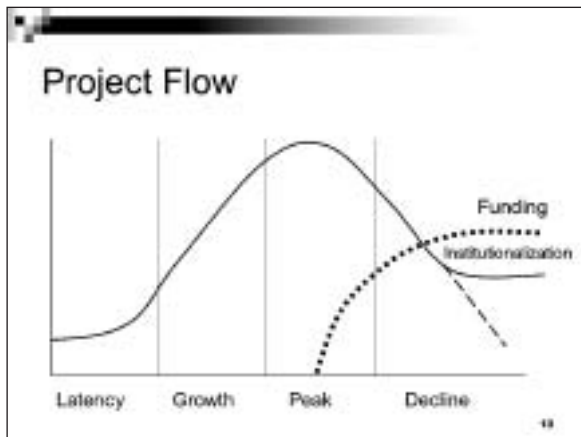
F-11

Characteristics

- Scarce resources may drive out some ideas.
- New ideas compete for old resources.

12

F-12



F-13

Growth and Decline of Ideas

- Differs by geography.
- May be at any stage in any given jurisdiction.
- Depends on other ideas in good currency.
- Depends on sources of funding.
- One project may be at varying lifecycle stages.

F-14

Cautions

- Periods of insufficient attention
- Periods of over attention
- Continue to nurture the effort!

F-15

"Take Home" Message

- All projects can be placed on a lifecycle.
- The placement on that lifecycle may explain certain conditions surrounding your project (e.g., limited support or loss of champions).
- Determining where your project is on the lifecycle can help you determine what work you must take on next.

F-16

GOALS, OBJECTIVES, AND CRITICAL WORK ACTIVITIES (POWERPOINT® PRESENTATION G)

Goals, Objectives, and Critical Work Activities

1

G-1

Goals

Once you have settled on your mission statement, you must establish a critical path to follow toward your ultimate purpose. **The elements that must be successfully addressed along this path become specific goals for your project.**

2

G-2

Objectives

Once you have identified the goals to be accomplished, you will have to decide on the precise steps to take to best achieve each goal. **These steps are your project tasks or objectives.**

3

G-3

The Relationship Between Objectives, Goals, and Vision

4

G-4

Develop action plans that focus on process and task functions

- Effective teams must identify goals and related objectives that are critical to accomplishing their mission. They must also pay deliberate attention to how their team is operating (process function).
- Action plans should therefore address *both* the task-oriented goals and objectives associated with the team's mission and the process activities that will continue to build and strengthen the team.

5

G-5

Developing Your Action Plan

- You are now ready to complete your action plan to accurately reflect the work you have agreed you must do.
- Your action plan should identify what must be done, who will do it, when it will be done, and the resources that will be needed.

6

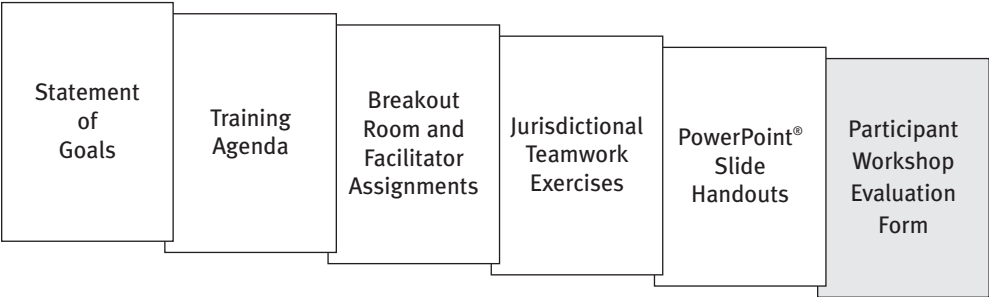
G-6

Prepare a Final Report-Out

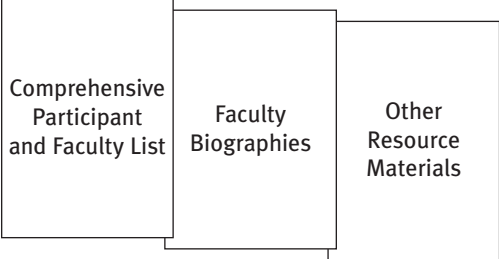
- Identify one critical goal your team has agreed must be addressed to strengthen your collaboration and up to three action steps (objectives) you will carry out to achieve this goal.
- Identify one important lesson learned about collaboration during the workshop.

G-7

Right Side of Packet



Left Side of Packet



PARTICIPANT WORKSHOP EVALUATION FORM

Date
Meeting Location
City, State

Name: _____ Team: _____

1. In general, what aspects of the meeting worked best for you? (Check all that apply.)

- Plenary sessions
- Teamwork sessions
- Site teamwork facilitation
- Agenda flow (combination of plenary sessions, panel discussions, and teamwork sessions)
- Other: _____

Comments on the workshop overall: _____

2. Please indicate how successful the workshop was, in your view, in achieving its goals. Use the scale provided to reflect your responses:

The workshop promoted a common understanding of the language and concepts of collaboration.

| | | | | |
|-------------|--------------|----------------|-------------------|----------------|
| Fully Agree | Mostly Agree | Agree Somewhat | Slightly Disagree | Fully Disagree |
| 5 | 4 | 3 | 2 | 1 |

The workshop provided teams an opportunity to articulate their vision, mission, and goals and the importance of collaboration to their work.

| | | | | |
|-------------|--------------|----------------|-------------------|----------------|
| Fully Agree | Mostly Agree | Agree Somewhat | Slightly Disagree | Fully Disagree |
| 5 | 4 | 3 | 2 | 1 |

The workshop enabled teams to understand their team and project life cycles and assess their own place on these cycles.

| | | | | |
|-------------|--------------|----------------|-------------------|----------------|
| Fully Agree | Mostly Agree | Agree Somewhat | Slightly Disagree | Fully Disagree |
| 5 | 4 | 3 | 2 | 1 |

The workshop promoted team building.

| | | | | |
|-------------|--------------|----------------|-------------------|----------------|
| Fully Agree | Mostly Agree | Agree Somewhat | Slightly Disagree | Fully Disagree |
| 5 | 4 | 3 | 2 | 1 |

The workshop provided an opportunity for teams to share common experiences with one another.

| | | | | |
|-------------|--------------|----------------|-------------------|----------------|
| Fully Agree | Mostly Agree | Agree Somewhat | Slightly Disagree | Fully Disagree |
| 5 | 4 | 3 | 2 | 1 |

3. Please comment on the overall effectiveness of the plenary, teamwork, and other sessions. Were the topics and information that were shared and discussed in each relevant and helpful to your team’s work? Please circle “Yes” next to the sessions that were helpful and “No” next to those that were not helpful.

Plenary sessions

- | | | |
|-----|----|---|
| Yes | No | What Is Collaboration, and What Do We Know About It? |
| Yes | No | The Importance of Values and Vision to the Work of a Collaborative Team |
| Yes | No | Identifying Problems and Developing Clear Missions |
| Yes | No | Roles and Responsibilities of Team Members |
| Yes | No | Collaboration in American History |
| Yes | No | Group Dynamics |
| Yes | No | Team and Project Lifecycles |
| Yes | No | Goals, Objectives, and Critical Work Activities |

Teamwork sessions

- | | | |
|-----|----|--|
| Yes | No | What Is the Current State of Our Collaborative Efforts? (Collaboration Survey) |
| Yes | No | Examining our Vision and Values |
| Yes | No | Identifying the Problems and Developing a Clear Mission |
| Yes | No | What Are Members’ Roles and Responsibilities on Our Team? |
| Yes | No | Experiential Learning Exercise |

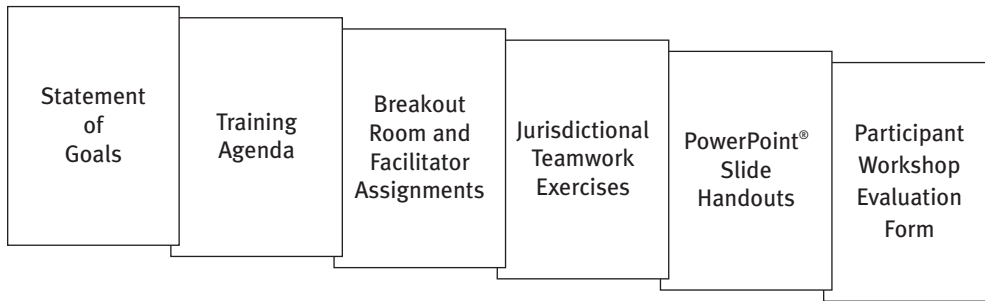
- | | | |
|-----|----|---|
| Yes | No | What Influences Do Our Group's Dynamics Have on Our Work as a Team? |
| Yes | No | Where Are We in Our Lifecycle? |
| Yes | No | Identifying the Goals, Objectives, and Critical Work Activities Necessary to Strengthen Our Collaboration |

Other sessions

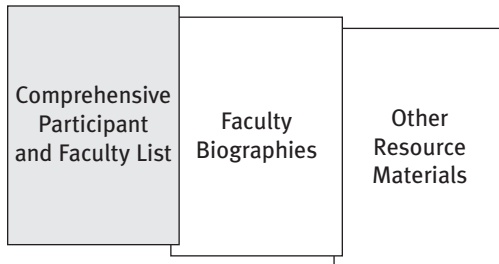
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|-----|----|------------------------------|
| Yes | No | True Colors™ |
| Yes | No | Concurrent Discussion Groups |
| Yes | No | Final Report Out |
| Yes | No | <i>The Goose Story</i> video |

Comments on the workshop sessions:

Right Side of Packet



Left Side of Packet



WORKSHOP PARTICIPANT AND FACULTY LIST

Date
Meeting Location
City, State

Jurisdiction A

Participant Name

Title
Agency
Address
City, State, ZIP
Tel:
Fax:
E-mail:

Participant Name

Title
Agency
Address
City, State, ZIP
Tel:
Fax:
E-mail:

Participant Name

Title
Agency
Address
City, State, ZIP
Tel:
Fax:
E-mail:

Participant Name

Title
Agency
Address
City, State, ZIP
Tel:
Fax:
E-mail:

Jurisdiction B

Participant Name

Title
Agency
Address
City, State, ZIP
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Participant Name

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Participant Name

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Faculty

Participant Name

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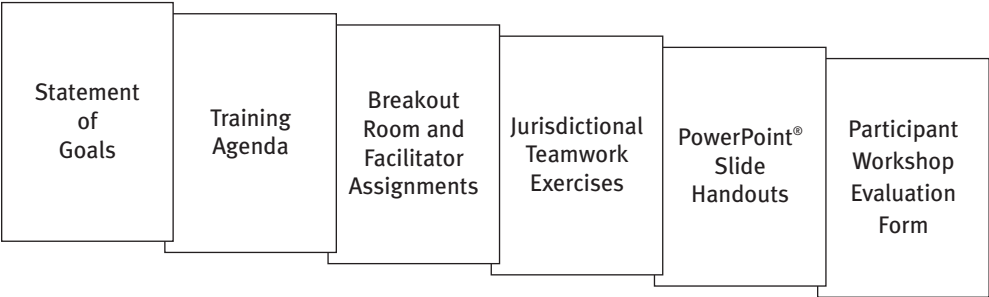
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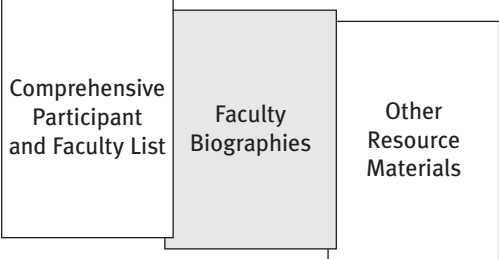
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Left Side of Packet



FACULTY BIOGRAPHIES

Date
Meeting Location
City, State

Provide a one-paragraph biography of each faculty member.

Faculty Member 1

Place faculty information here.

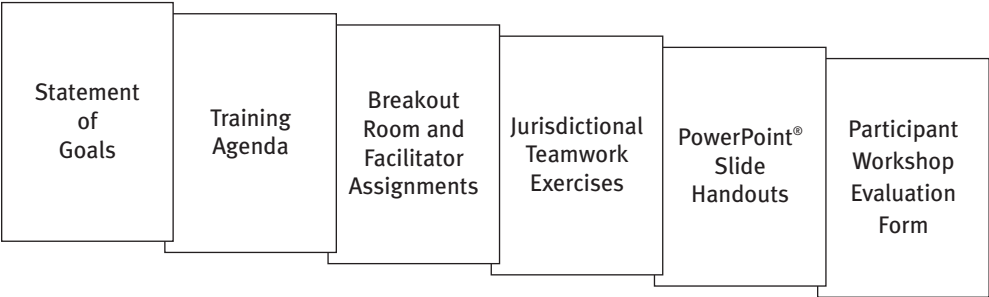
Faculty Member 2

Place faculty information here.

Faculty Member 3

Place faculty information here.

Right Side of Packet



Left Side of Packet

