JCOIN

Justice Community Opioid Innovation Network

The TCU Research Hub

Facilitator Guide

October 2022

Introduction

We welcome you as a JCOIN facilitator! This manual has been provided to you because you have been selected to serve as a workgroup facilitator in a project that aims to generate significant improvements in the functioning of a number of criminal justice agencies across three states.

As a facilitator you may take on different roles with each community workgroup. This could include a focus group leader (for the needs assessment), a process group leader (for linkage planning), and an ongoing coach to the community liaison. Specifics for each JCOIN project activity can be found in separate protocols.

This manual provides a broad's stroke training on how to facilitate activities with a diverse workgroup. Specifically, there are six chapters designed to assist the facilitator in navigating several areas within the group facilitation process.

Chapter 1 discusses the facilitator qualifications, roles and responsibilities of the position.
Chapter 2 provides an overview of workgroup development and the importance of collaboration.
Chapter 3 gives an overview of methods to elicit participation, information, and ideas.
Chapter 4 provides strategies to manage group dynamics and conflict.
Chapter 5 focuses on group decision-making tools.
Chapter 6 discusses sustainment efforts to continue workgroup progress at the conclusion of the project.

These chapters will be useful in guiding the facilitation process and will be effective in maintaining the scope of the JCOIN study to ensure information gathered during the group process will be educational and informative for the end users.

One of the principal aims of JCOIN entails improving service delivery among criminal justice agencies by encouraging partnerships between these agencies and behavioral health providers. Behavioral health providers are specialists in substance use prevention and treatment as well as the promotion of mental health. Consequently, the cultivation of partnerships between criminal justice agencies and behavioral health providers is expected to create a collaborative approach to service delivery that will yield a host of benefits for the individuals served, their families, and the communities in which they live. Substance use prevention and treatment is the element of behavioral health services that is most central to JCOIN.

The JCOIN research team is excited to offer you the training and support necessary to ensure your success as a facilitator. Our hope is that this manual will serve as a valuable resource to you for the duration of your work on this project. This material in this manual has been carefully coordinated with training that you'll receive on facilitation, and will greatly improve your ability to deliver optimal facilitation. Moreover, JCOIN has a number of people whose principal purpose is to provide ongoing support to you as a facilitator. Their contact information is listed in the table below.

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Chapter 1

Role of the Facilitator

1.1 Chapter Overview

This chapter provides essential guidance on the characteristics, roles, and responsibilities of the facilitator. This chapter begins by discussing the mandatory and desirable Knowledge, Skills, and Abilities (KSAs) of the facilitator, followed by an explanation of the facilitator's self-assessment. This chapter defines the process of group facilitation along with the facilitator's role in it. Additional sections of this chapter describe the duties and responsibilities of the workgroup facilitator. Thereafter, the different styles of facilitation, and the intervention fidelity and data collection are briefly reviewed. The chapter ends with a special note on the anticipated challenges of a facilitator responsible for guiding a large-scale science study. Among the formidable challenges is the possibility of conflict resulting from being a facilitator and a researcher.

1.2 Characteristics of the Facilitator

This section presents two broad competency sets, including Knowledge, Skills, and Abilities (KSAs) that are required by the research protocol, as well as other KSAs that are desirable, but not mandatory for the facilitator.

> ***Special Note for Research Centers on Mandatory and Desirable Characteristics:*** Each research team will designate one or more staff members (depending on geographic distribution of the sites) to serve as facilitator(s) for their respective experimental sites.
>
> *Mandatory minimum criteria* specify characteristics for guiding research teams in their initial selection of their facilitator(s). Specifically listed in the JCOIN protocol and emboldened in **Table 1.1** on the next page, these criteria include knowledge of criminal justice system practice and data collection. Moreover, research teams will not use doctoral students as facilitators. Therefore, research team staff such as co-investigators or individuals experienced in facilitation are eligible to serve as a facilitator for this research study. Facilitators must know how to collect and analyze data. Knowledge or prior experience in organizational functioning is also an important criterion.
>
> *Desirable KSAs* are inferred from the specific duties of the facilitator (discussed later in this chapter), and many of these characteristics are the focus of specific trainings that group facilitators are recommended to attend.

Knowledge of the JCOIN protocol is desirable because it gives all facilitators a common frame of reference for understanding their role in the context of the larger study. Also desirable is some knowledge of how criminal justice and behavioral health organizations work.

Skills include being able to apply group facilitation techniques, cultivate productive work team relationships, and help address conflicts that may emerge (see Chapters 3-5). Good communication skills are also needed. Workgroup discussions will need moderation and will sometimes be improved through the use of questions that are properly worded and timed.

Abilities that will serve the facilitator will include being a well-organized individual who can multi-task successfully. The facilitator should be able to convey capability and expertise in order to establish credibility with the workgroup. Recommended criteria for facilitators are featured in the summary table that follows. KSAs addressed at length in specific chapters of this manual are accompanied by the chapter designation in parentheses.

Table 1.1 Workgroup Facilitator KSAs

Knowledge
JCOIN workgroup facilitation activities *(see JCOIN protocol specific to each activity)* • Needs assessment exercise (conducted as a focus group discussion) • Linkage planning exercise (conducted as feedback report and group discussion) • Coaching with Workgroup Liaison
Criminal justice system practices
Behavioral health practices
Data collection and reporting
Research practices
Skills
Group development and collaboration *(included in this JCOIN facilitation guide)* • Chapter 2 – workgroup development and collaboration • Chapter 3 – eliciting information, participation, & ideas • Chapter 4 – managing group dynamics • Chapter 5 – workgroup decision-making tools • Chapter 6 – working toward sustainment
Abilities
Well organized
Capable of multi-tasking
Task-focused and process-oriented
Ability to navigate workgroups through systems mapping and focus groups
Credible to the team

1.3 Facilitation as an Implementation Strategy

One of the primary objectives of JCOIN is to test the application of an implementation science framework. This framework functions as an overarching theory of program implementation aimed at fostering organizational improvement. In short, JCOIN is not simply committed to examining various avenues for improving CJ service delivery. The initiative is intent on using a theory-governed approach to implementation that specifies a step-by-step process through which implementation can proceed. The implementation science framework that was selected to govern the JCOIN initiative is called EPIS[1]. The EPIS model is shorthand for Exploration, Preparation, Implementation and Sustainment.

The EPIS model is mentioned here as a brief, but important reminder of the larger implementation science considerations governing JCOIN. Your role as a facilitator is most pointedly focused on the Exploration (needs assessment), Preparation (linkage plan), and Implementation phases (coaching) of the EPIS model. But facilitation is best delivered with an eye toward cultivating knowledge, skills, and abilities that will outlive the rather abbreviated period during which you interact with agency personnel, thereby meeting the ultimate goal of Sustainment. The role of Sustainment in the EPIS model will be discussed in more detail in Chapter 6.

[1] Aarons et al., 2011.

This figure illustrates the implementation strategies across each of the 4 EPIS phases as specifically designed for the JCOIN project. Facilitation roles are bolded within this figure.

Exploration	Preparation	Implementation	Sustainment
• Build a team of key network stakeholders • Conduct a **Needs Assessment** focus group discussion of current substance use and MOUD services • Train stakeholders on the O-TLM Resource Guide and accompanying webinars (a menu of innovative substance use and MOUD practices)	• Develop a **linkage plan** to address community identified and prioritized service needs along the cascade of care • The linkage plan will specify innovative practices, procedures, and targets specific to the community • The linkage plan will identify gaps in services and help understand how to close the gaps in service utilization	• The workgroup members will train other community corrections staff on the agreed upon linkage plan to help close the service gap • Promote collaboration and action monitoring among stakeholders during community implementation • The workgroup liaison will participate in remote **coaching** with the research team • The research team will conduct client interviews at pre-release, immediately upon release, and at follow-up	• Communities will be encouraged to sustain the linkage plan • Promote continued implementation of innovative practices including local target monitoring and adapting procedures • Communities will be encouraged to sustain workgroups and related activities • The research team will administer a subsequent agency survey and periodic check-ins on the sustained use of the linkage plan

The remainder of this chapter addresses facilitator styles and foundational principles of facilitation.

1.4.1 Facilitator Self-Assessment

Understanding oneself is an important initial step toward capable facilitation. Seasoned facilitators often are well aware of how their personal attributes can help them practice their craft or, from time to time, serve as impediments to group facilitation. Attributes that describe you well ("I am…") can tell you a great deal about people with whom you prefer to spend your time. People with a series of similar "I am" statements may feel a "natural" connection. By contrast, "hooks" (friction points or tensions) are more likely when you interact with those who value or exhibit characteristics that are found on your "I am not…" list. For example, a facilitator with a preference for integrating humor into team interactions ("I am funny") might quickly become at odds with a workgroup that interprets such jokes as needless distractions or a lack of seriousness. To foster an awareness of your own "hooks," please complete the "Understanding Your Hooks" exercise on the following page. This exercise has been provided to you on a single page so you can print it out and complete it at a time that is convenient for you. In reviewing the completed list, you might want to pay special attention to your "I am not" list. Also, recognize that people can generally adapt these characteristics (preferences, really) to suit the demands of particular circumstances and groups. The process of delivering facilitation can sometimes change our "hooks." If you wish, you may complete this exercise before you began JCOIN facilitation and once again after you have completed your facilitation work. Then you can compare your before and after responses.

Understanding Your Hooks Exercise—

Please complete the following lists using adjectives or short phrases.

I AM	I AM NOT
1. ____________________________	1. ____________________________
2. ____________________________	2. ____________________________
3. ____________________________	3. ____________________________
4. ____________________________	4. ____________________________
5. ____________________________	5. ____________________________
6. ____________________________	6. ____________________________
7. ____________________________	7. ____________________________
8. ____________________________	8. ____________________________
9. ____________________________	9. ____________________________
10. ____________________________	10. ____________________________
11. ____________________________	11. ____________________________
12. ____________________________	12. ____________________________

When you have completed your lists, look over the descriptive words you have chosen. You are most likely to feel comfortable around people who have similar characteristics or values as your "I AM" list. People who display or act like the descriptors under your "I AM NOT" list are likely to "hook" you. You may feel the need to address their behavior only because it is something you don't value or because it makes you uncomfortable. As a facilitator, be aware of your own biases (both positive and negative) when working with the group.

1.4.2 Workgroup Facilitation and the Facilitator

Facilitation occurs in two primary areas, *process* and *content*. More specifically, **content** includes evidence-based practices for assessing justice-involved individuals and the many tools and templates that have been developed to help the workgroup collect and use data. **Process** also has two foci: (1) general group processes, which involve the social activities focused on helping the group to work more effectively together, and (2) A problem-solving process that the workgroup uses to improve the way their agencies "do business" in assessing justice-involved individuals for substance use and mental health.

Evidence-based practice refers to actions or protocols whose validity has withstood scientific scrutiny. A practice that is evidence-based has been proven effective through the systematic collection and analysis of data. In the context of JCOIN, a key evidence-based practice entails the use of tools by the criminal justice agency or other organizations for determining whether the justice-involved individual has a substance use or a mental health problem. Evidence-based screening instruments that have been shown to render correct diagnoses are used for this purpose.

Facilitation Tip—
Expertise Domains of the Facilitator

A facilitator exhibits expertise in three project domains.

1. *Group process*—The "social dimension" of the process, which includes helping to establish the workgroup and once formed, fostering its cohesion and coordination. Gradually, the workgroup liaison and the workgroup itself become increasingly self-reliant in effective group process. The **Workgroup Liaison** is a parole staff member who serves on the workgroup and will communicate frequently with the facilitator throughout the project.
2. *Practice*—The "skills dimension" of the process, which principally entails the cultivation of technical expertise. As the workgroup liaison and workgroup master these skills, the facilitator's leadership becomes more subtle and muted.
3. *Fidelity*—Adherence to the design of JCOIN as articulated in the study protocol. This expertise domain remains fairly constant through the period of facilitation.

Related instruction from two highly regarded manuals for facilitators underscores the importance of these responsibilities.

"External facilitators are experts in practice and program implementation."
—Kirchner et al., n.d., p. 6, VA QUERI Facilitator's Manual

"The golden rule of facilitation is to only do for the group that which it cannot do for itself"
—National Institute of Corrections (2006)

Guidance for the JCOIN facilitator may be drawn from two primary sources: (a) the broader literature on internal and external facilitation for using evidence-based practices (EBPs), and (b) the JCOIN research protocol. In the context of this project, facilitators are charged with providing specialized guidance and support to participating criminal justice (CJ) agencies and behavioral health (BH) organizations for their process improvement efforts.

What is the role of the facilitator with respect to EBP use? Within the rather large body of research on facilitation, the facilitator is generally understood as "a person whose selection is acceptable to all members of the group, is substantively neutral, and has no substantive decision-making authority [and who] diagnoses and intervenes to help a group improve how it identifies and solves problems and makes decisions, [so as] to increase the group's effectiveness." [2]

[2] Schwarz, p.21, 2005.

Adding to these important insights, other sources specify a content that is being facilitated. For example, Baskerville and colleagues (2012: 64) explain that a "facilitator is an individual carrying out a specific role, either internal or external to the practice, aimed at helping to get evidence-based guidelines into practice." Here it is emphasized that the facilitator will be external (not internal) to the criminal justice agency and other organizational partners involved in JCOIN.

Facilitators, as envisioned in the JCOIN protocol, are individuals external to the agency partners who are responsible for assisting criminal justice agencies in developing local workgroups. Facilitators are also responsible for guiding criminal justice agencies and their behavioral health partners to identify goals, develop plans, monitor progress, and sustain procedural changes to improve behavioral health services for the justice-involved population. Data are to be collected and will likely include retaining copies of criminal justice reports, minutes of workgroup meetings, among other forms of documentary evidence. Explicit in this vision are the specific duties of the facilitator.

1.5. Responsibilities and Duties of the Facilitator

The most critical duty of the facilitator—and, ultimately, the workgroup liaison—entails helping the workgroups progress through quality improvement cycles in which goals are set, necessary actions are taken, and measurable progress is documented. The facilitation process is based on the premise that key stakeholders—in this case, criminal justice (CJ) staff and their behavioral health partners—can benefit from the group facilitation process. Therefore, the facilitator's primary responsibility involves guiding and monitoring the workgroup to identify goals, develop feasible action plans, monitor progress, and sustain change. Facilitators have a special responsibility for assisting workgroups to yield positive change.

As shown in **Table 1.2** on the following page, the facilitator's responsibilities and duties are charted into two columns: (1) workgroup activity, and (2) fidelity and data collection. This table is designed to provide a thumbnail summary and should not be interpreted to suggest that these areas of responsibility are two wholly separate domains. Quite often, actions taken in one area will affect another domain.

The capable facilitation of workgroups requires the facilitator's collaboration with the workgroup liaison. He or she will manage and support activities in conjunction with key CJ agency staff and their workgroups. The facilitator role is similar to that of a coach, advisor, or consultant in other implementation frameworks.

Table 1.2 Summary of Facilitator Responsibilities and Duties

Workgroup Activity
Assist in workgroup formation
Facilitate and develop agendas for JCOIN workgroup activities (*those listed in Table 1.1*)
Apply facilitation techniques • Eliciting information and ideas (Chapter 3) • Help resolve conflict and manage group dynamics (Chapter 4) • Workgroup decision-making (Chapter 5)
Attend workgroup hosted meetings *(if invited by workgroup)*
Review or, as able, take minutes for workgroup meetings *(as helpful/requested by workgroup)*
Participate in broader groups, focused on accountability and communication across all components of the research design as needed
Fidelity & Data Collection
Work with local workgroup liaison to collect and interpret data.
Carefully read all JCOIN manuals and materials, including the study protocol.
Review and be familiar with the fidelity checklist for each JCOIN workgroup activity.
Training and assist local workgroup liaison in data reporting protocols.
Monitor workgroup progress in relation to project timelines.
Keep a log of significant events that may influence generation and interpretation of study data.
Report when there is a change in team membership; help orient new workgroup member(s).

1.5.1. Taking Minutes at JCOIN Workgroup Activities and Workgroup Meetings

Taking minutes at meetings is an essential task for staying organized but is often laborious and sometimes even unwelcome. However, meeting minutes are necessary to document the process, keep workgroup members informed on decisions and progress, and aid in tracking the study timeline for the group. Minutes may also be utilized as data in the study. In general, a person who is facilitating or conducting a meeting is not in an ideal position to take minutes at the meeting. Therefore, there are a number of viable minute-taking strategies that might be utilized. Each of the options has potential advantages and drawbacks. Among the range of possibilities are the following minute-taking models:

- **Administrative assistant model**: The agency may have an administrative assistant who can take minutes. This approach is advantageous because all workgroup members can focus on the discussion and can participate fully in it. However, members of the workgroup do not cultivate minute-taking skills in this model, and the agency may be reluctant or unable to provide such a human resource.
- **Second facilitator model**: If two facilitators attend a workgroup meeting, the one who is not conducting the meeting can take minutes. This strategy permits full meeting participation by the workgroup members. However, this approach can be logistically costly in terms of travel and meeting time as well as the duplication of facilitator resources. This approach also removes minute-taking responsibility from the workgroup, which may create a difficult transition point following the intervention.
- **Workgroup liaison model**: Prior to the workgroup liaison conducting workgroup meetings, he or she could take minutes. The alternate workgroup liaison could also serve quite capably in this regard once the primary workgroup liaison leads meetings. Taking minutes provides familiarity and in-depth understanding with respect to the topics covered and views expressed. These factors will benefit the workgroup liaison. However, taking minutes may diminish the participation of the workgroup liaison.
- **Rotational model**: Some groups assign responsibilities for taking minutes on a rotational basis, such that each member serves in this capacity for a designated period of time. This model is equitable and can produce broad gains in minute-taking skills. However, the quality of minutes can vary among people charged with this duty if an effort is not made to set a basic standard of detail for recorded minutes.

Regardless of how minutes are taken, the facilitator is responsible for documenting the following:

- Activities, decisions, and action items that emerge from face-to-face or virtual sessions with the workgroup (ideally with assistance from another facilitator)
- Any method of communication with the workgroup liaison
- Dates and lengths of meetings held with CJ agency staff regarding change efforts [3]

1.6. Facilitator Styles

Previous sections of this chapter detailed the duties that facilitators will perform in this project, and the following sections provide brief summaries of the skilled facilitator, the 9, 9 facilitation style, and the guiding principles of facilitation. Each of these are designed to help the facilitator strike the delicate balance between working closely with the group while taking care not to dominate the group. Moreover, skilled facilitators are adept at engaging all group members in the discussion. As noted in Kirchner et al. (n.d.: 10), “While providing guidance and technical assistance, the [facilitator] must be careful to ensure that the stakeholders, rather than the facilitators, are creating the program, which will foster successful implementation, buy-in, and ownership.” Although the facilitator may be tempted to do the work for the group, it is important to remember the golden rule of facilitation. That golden rule is to “only do for the group that which it cannot do for itself.” [4]

[3] JCOIN study protocol
[4] NIC, p.1, 2006.

1.6.1. The Skilled Facilitator

For a facilitator to be successful, they must be trusted by the workgroup with whom they are working. [5] One key for establishing trust is "a clear understanding and agreement with the group about your role as a facilitator and how you will work with the group to help it accomplish its objectives." [6] Establishing this type of relationship is more than simply agreeing on a set of procedural rules for how the workgroup will act during its meetings (e.g., attend all workgroup meetings, only one person speaks at a time, decisions are consensus-based).

Rather, "behavioral ground rules" are needed that maintain the neutrality of the facilitator and autonomy of the workgroup and its decisions. These rules are the underlying principles on which the facilitator and group work together. Indeed, "the core values [expressed in behavioral ground rules] provide a basis for a collaborative relationship from which facilitators learn with clients rather than clients simply learning from the facilitator. Because the core values for facilitation are also the core values for effective group behavior, when you act consistently with the core values [principles underlying these behavioral ground rules], not only do you act effectively as a facilitator, but you also model effective behavior for the group [with whom] you are working" (Schwarz, 2005: 26).

Procedural Ground Rules: These ground rules include starting/ending the meeting on time, silence or turn off cell phones, and respect for all workgroup members. While this list of procedural ground rules may encompass rules that apply to each workgroup member, it may not be all exhaustive. It is recommended that the facilitator and the workgroup open a discussion to agree on the procedural ground rules for the workgroup. For instance, workgroup members are staff with job demands and responsibilities beyond the commitment to the workgroup. It can be extremely difficult and sometimes unreasonable to require that cell phones be turned off given the nature of the vulnerable population that workgroup members serve. On the other hand, the group will be most efficient without unreasonable distractions. One solution is to request that cell phones be placed on vibrate rather than being turned off. Additionally, be sure to provide enough breaks during the meeting so that members can frequently check for messages from the office. More in depth information about additional ideas for procedural ground rules can be found in **Table 1.3**.

Table 1.3 Procedural Ground Rules

Rule	Explanation
Use valid information	• This principle requires everyone to share relevant information as well as the source of that information • Not sharing relevant information substantially reduces the effectiveness of the group and the facilitator alike
Workgroup members should make free and informed choices	• Free and informed choice requires each group member to be empowered to make his or her own decisions while being provided with sufficient information pertaining to that decision • This decision should not be the result of pressure from the group to conform to its way of thinking • Steps should be taken to ensure that the group has considered multiple viewpoints before reaching consensus
Workgroup members should have internal commitment to their time with the workgroup	• Each person must take personal responsibility for the success of the group and its products
Workgroup members and the facilitator should treat each other with compassion	• Compassion encourages empathy • A group member's personal biases are set aside as he or she considers the viewpoint of colleagues in the group with whom he or she disagrees

[5] Schwarz, 2005.
[6] Schwarz, p.31, 2005.

Behavioral Ground Rules: These values directly inform more concrete group behavioral rules (Schwarz, 2005) and provides a framework for productive collaboration. The behavioral ground rules should help create and manage productive conversations. Keep in mind that these behavioral ground rules should be focused on specific behaviors of how workgroup members and the facilitator interact rather than the outcomes of the behaviors. More in depth information about suggested behavioral ground rules can be found in **Table 1.4**. Collectively, these rules ensure the team is using valid information as a common base from which to work, thereby creating an environment in which members feel free to contribute and advocate for others to present their view even if it is different than their own. The group can also test these differing ideas and opinions and encourage discussion of issues that are usually considered "off limits" if these issues are adversely affecting the group's work. Violations of these rules suggest opportunities for the facilitator to help the group change its behavior and become more effective.

Table 1.4 Suggested Behavioral Ground Rules for Effective Groups

Rule	Explanation	Role of the Facilitator
Test assumptions and inferences	• Assumptions: drawing a conclusion you believe is true without any kind of proof • Inferences: using your knowledge and observations to draw a conclusion about something you don't know • If the assumptions/inferences are wrong and lead the group awry, it creates problems for the group	• Make group members aware of themselves drawing assumptions and inferences • Test assumptions/inferences before creating potential negative consequences ○ What are the consequences if I act on my inference as if it is true? If it is false?
Share all relevant information	• Relevant information may affect decisions made with the information that is provided	• Share relevant information for the group to have a base to build decisions and comments off of • Build and maintain trust with workgroup members • Share information that does not support your point of view
Use specific examples, and agree on what important words mean	• Be direct in what you are saying rather than beating around the bush • An example of a word should be given for everyone to understand what the word means and does not mean • An agreement on what words mean enables group members to communicate better together	• Hold people accountable by being direct with what you are asking (ex. Did you read the book vs did you have a chance to read the book) • Give an example of a word so as to demonstrate the meaning
Explain your reasoning and intent	• Transparency of reasoning and intent helps the group solve a problem, understand how ineffective behavior is handled, and the purpose of any actions or thought processes	• Explain what leads you to make a comment or ask a question so group members know your reasoning and don't make their own assumptions • Be transparent with group members about your reasoning and intent
Focus on interests, not positions	• Interests: the needs someone has in a specific situation • Positions: how someone's needs are met • Interests lead to advocacy for a specific position, but sometimes differing lead to conflict despite the interest being similar	• Explicitly state the interests of the group • Aid the team in creating solutions that meet as many of the listed interests as possible
Jointly design steps and ways to test disagreements	• Deciding with input from all group members when to move forward • The workgroup should work together to design the next steps	• Working with the group to design the next steps which could include: meeting design and logistics, when to move to the next topic, what to do when someone is off track, how to manage disagreements
Discuss "undiscussable" issues	• These are the issues relating to the group's task that may have a negative impact on the group's outcome • The group members believe they can't discuss these issues with the whole group without any negative repercussions • These issues are discussed with individuals that are known to be like-minded rather than with the group as a whole	• Get the group to discuss the undiscussable issues that reduce the group effectiveness
State views and ask genuine questions	• Helps others understand how you get to a viewpoint and how others get to their conclusion • This also gets the conversation started rather than having comments or answers to questions • Identifying any differences in viewpoints, group members can determine what factors lead to the differing opinions	The facilitator should demonstrate the behavior by: • Expressing your point of view • Give reasons why you have this point of view • Ask others questions to learn new information ○ Do not embed your point of view in the questions you ask

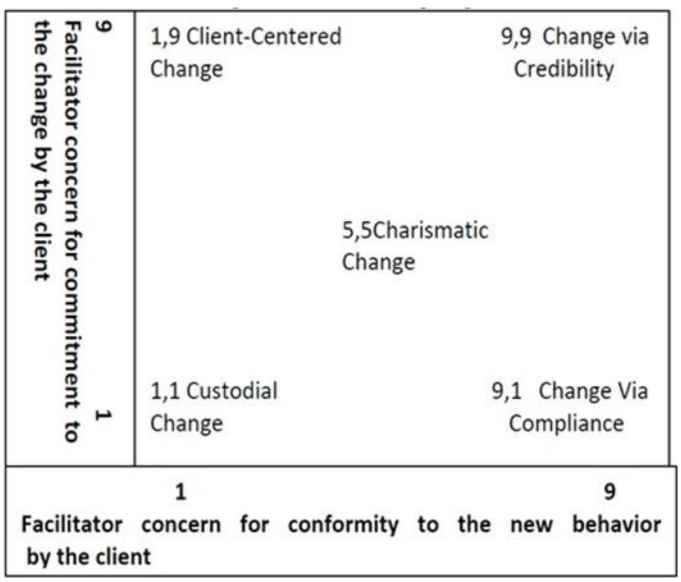
Adapted from Schwarz, 2016

Finally, a skilled facilitator recognizes that his or her behavior has both short-term and long-term consequences for group behavior and effectiveness (Schwarz, 2005). Thus, for example, when the facilitator intervenes in the group process, it is done in a way that an individual is not singled out and that avoids negative appraisals of performance because such approaches will only result in defensiveness and resentment, thereby subverting the group process. Facilitators should also refrain from making direct suggestions or offering specific solutions to problems because this approach fosters the group's dependency on the facilitator and may unnaturally shape their solution for the issue at hand. Ultimately, the facilitator carefully observes the group process using the behavioral ground rules and resultant group process rules as diagnostic tools that help determine when to intervene with the group to address problems or inefficiencies in the way the group is performing.

1.6.2. The 9,9 Facilitation Style—Change via Credibility

Understanding the 9,9 approach, is fostered by an examination of the adjacent diagram. Conceptually, the perspective taken in the 9,9 approach is characterized by two main concerns of the facilitator, namely, (a) the level of commitment to change by the client (the workgroup for JCOIN) and (b) concern for conformity to the new behavior by the client. Both dimensions are scored from 1 (lowest) to 9 (highest) level of concern.

Figure 1.1 Facilitator as Change Agent



The best means for illustrating this approach is found in a description of the 9,9 "Change by Credibility" approach followed by the drawing of contrasts between it and some of the other approaches. The 9,9 facilitator is maximally concerned with both the local change team's level of commitment to change as well as the adoption of the new behavior. In this case, the new behavior consists of the process improvements developed by the change team to enhance the evidence base of their assessment, case planning, and treatment delivery system.

It is important to note that "9,9 facilitators assume a client's behavior is purposive and rational and that clients will adopt new behaviors if those behaviors better accomplish goals that the client selects" (OPII, p. 18). If that new behavior accomplishes what the team wants to achieve, then it will be viewed as credible. Therefore, the 9,9 facilitator seeks to enhance the probability of this desirable outcome by helping the team solve problems and reach their goals using the facilitator tools discussed in Chapter 4.

The facilitator actively seeks to help ensure that the workgroup has everything it needs to make informed decisions that they personally value. By contrast, the 9,1 facilitator is concerned primarily with adoption of the new behavior, but cares little about their buy-in to the process. Change is imposed in this model and will last only as long as the facilitator remains active with the workgroup. Finally, the 1,1 facilitator cares little for whether the change occurs and whether the workgroup has bought into the process. This individual acts as a monitor, doing little but saying that change is needed and that not creating change will have negative consequences.

1.6.3. Guiding Principles of Facilitation

Based largely on the International Association of Facilitator's Statement of Values and Code of Ethics for Group Facilitators, Keating (2003) provides a relevant and valuable set of guiding principles for facilitators. "An effective and sincere facilitator:

- clarifies the purpose
- designs the process with the client
- uses processes, methods and tools appropriately and responsibly
- creates an atmosphere and opportunity for contribution—where all participants trust that they can speak freely and where individual boundaries are honored
- opens and closes with purpose
- honors contributions
- caters to different learning styles
- respects the culture, rights and autonomy of the group
- understands the needs and processes of group development and effectiveness listens—and reflects back to ensure understanding
- engenders trust
- encourages participants to challenge 'the data' and not 'the person'
- practices stewardship of process and impartiality toward content
- clarifies the data by checking back with participants
- elicits a greater depth in both the data and the interrelationships of the data
- acknowledges openly any potential conflict of interest
- responds to the group—through flexibility of format and process
- manages conflict with sensitivity
- maintains confidentiality of information
- invites in another practitioner for situations beyond their expertise and experience (e.g., conflict resolution)
- takes responsibility for continuous improvement of facilitation skills and knowledge."

Facilitation Tip—Variations in Local Workgroup Effectiveness
Facilitators should be mindful that workgroups will certainly vary in their level of effectiveness and success. Facilitators should zealously guard against stepping outside of their helping role in an attempt to "ensure" that their team succeeds. The effectiveness of facilitation is gauged not by the success of the group, but rather by the facilitator's careful navigation of the delicate balance between providing support and fostering independence.

1.7. Special Note on the Dual Roles of the Facilitator

It should be noted that because the facilitator is responsible for the delivery of facilitation and is one of the researchers from their research team, these roles may conflict at different times during their time with the workgroup. Dual roles are often necessary, as is the case for this study, and it is incumbent on the facilitator to understand ahead of time the need to guard against introducing possible biases resulting from either role. For example, because the facilitator is also a researcher, a significant concern related to experimenter bias (particularly unconscious bias) is possible.

The worst-case scenario would be for the researcher/facilitator to influence the process inadvertently in such a way that it would artificially increase the likelihood that teams succeed. This situation would lead to a higher probability of success which researchers typically call a Type 1 error. A Type 1 error would entail concluding that the horizontal intervention “worked” when, in fact, it did not yield real or sustainable gains. An overly earnest facilitator/researcher may “hijack” the workgroup to ensure they do not fail in their endeavors.

JCOIN facilitators must understand that it is expected that workgroups will vary in their level of effectiveness. The facilitator should avoid becoming personally invested in the team’s outcomes that would put the facilitator in a position of a helping role to complete tasks that the team can and should do for itself. Also, if a facilitator perceives their workgroup as doing poorly compared to others, it can be difficult to set aside ego factors or a competitive spirit. Yet, capable facilitation requires this ability. No facilitator should make it their personal mission to ensure a workgroup succeeds.

Chapter 2
Workgroup Development and Collaboration

Overview

In this chapter, our attention turns to strategies for the successful development and initiation of workgroups. During the early stages of workgroup formation, team members are often trying to get oriented and may be seeking acceptance and affirmation. They are also looking for direction about the larger purpose of the team. [7] Many of the team-building techniques presented in this chapter are especially useful in the initial stages of workgroup development. However, this chapter also addresses structural considerations such as meeting logistics and the benefits of establishing ground rules, all of which have long-term implications for enhancing team dynamics. This chapter concludes with a discussion of strategies for establishing trust among workgroup members and related topics on group formation.

2.1. Workgroup Meeting Preparation

Planning and preparation for initial workgroup activities/meetings will pay dividends for you and members of the workgroup. This section addresses elements of meeting logistics such as creating a pre-meeting checklist and developing a list of contact information for each workgroup member.

2.1.2. Pre-Meeting Checklist

Prior to scheduling the workgroup activities/meetings, **be sure to review activity specific checklists or fidelity forms to help organize the pre-meeting tasks**. You can tailor the given checklist for your meeting preparation. The example checklist below is organized with several details that are appropriate for facilitation activities.

✓	Facilitator Checklist for Workgroup Meeting
	Workgroup members' contact information
	Name tags with large letters that are easy to read
	Questions and materials for ice-breaker activities
	Courtesy meeting reminder sent to workgroup members one or two days prior to the meeting
	Refreshment plans for the meeting
	List of ground rules to discuss with workgroup members
	Printed meeting handouts
	Facilitator materials for meeting

2.1.3. Meeting Logistics

It is important to compile a list of information about each participant such as the person's name, agency affiliation, job position, contact information, travel consideration, and other scheduling concerns. This information is essential for logistical reasons in addition to learning about the participants in your group.

[7] National Institute of Corrections, pp.6 and 8, 2006.

Workgroup Member Information	
Name	
Agency	
Position	
Phone	
Email	
Travel Concerns	
Schedule Concerns	

2.2. Workgroup Activity Initiation

Building trust among team members is a process, one that can be fostered through opportunities for the group to interact so members learn to work together. As the facilitator make it a priority to:

1) Avoid "taking responsibility" for the team actions
2) Help the group stay focused and on track
3) Identify obstacles that are preventing the group from moving forward
4) Enforce the group rules
5) Stop any personal attacks [8]

It is essential that the group environment is one of safety. A workgroup should create a setting where diverse opinions are respected. Support your efforts with the ground rules when called for and become familiar with the facilitator expectations to avoid overstepping your role in the process. It is also beneficial to consider the phases of group development. In so doing, you can gain a better understanding of the balance between the group and the facilitator.

Remaining engaged with a team is very important to sustaining the attention of all. The following table provides some visual cues to indicate that you are paying attention to the group. To be sure, many of the tips found in this table may seem like common sense. However, many of us have response habits of which we may not be fully aware.

Tips for showing you are paying attention [9]

Do	Don't
Position your body to face the group	Turn your back on the group
Smile, look pleasant	Frown or look judgmental
Listen carefully while they talk	Be distracted
Keep eye contact	Avoid eye contact or stare
Nod affirmatively	Remain impassive
Talk with all group members	Talk to only a few people
Look around the group	Look at only a few people

[8] National Institute of Corrections, pp. 1 and 9, 2006.
[9] National Institute of Corrections, pp. 4 and 6, 2006.

Consider carefully the best approach to intervening with questions. The suggestions below will contribute to establishing trust between the facilitator and group members.

Asking effective questions [10]

Do	Don't
Ask clear, concise questions covering a single issue	Ask rambling, ambiguous questions covering multiple issues
Ask challenging questions which will provoke thought	Ask questions that don't provide an opportunity for thought
Ask reasonable questions based on what they know	Ask questions that most of the members don't know
Ask honest and relevant questions	Ask "trick" questions designed to fool members

2.2.1. Establishing Workgroup Expectations

After the workgroup has completed introductions, it is appropriate to discuss ground rules with participants (Chapter 1). The agreement of workgroup members to adhere to the ground rules is a sign of commitment on how the workgroup members will interact with each other. Additionally, the facilitator's support of these same ground rules shows the belief that these rules will help the group's effectiveness.

Remind the workgroup members upfront that the goal is to make the most of every minute of time that the group has together, so meetings will start promptly and end on time. These efforts contribute to establishing trust and demonstrate respect between the facilitator and the team members.

2.3 Workgroup Roles

Workgroup membership will include representation from CJ partner agencies and one or two behavioral health (BH) agencies where primary referrals are sent. The workgroup may also include representation from local advocate groups (e.g., case management). However, agency representation on the workgroup is limited to a few provider agencies early in the study to allow for focused discussion related to no more than one or two inter-agency linkages in the service cascade. The description of roles presented next is from the JCOIN protocol:

- Facilitator: Researcher staff member(s) who initiates and chairs initial JCOIN workgroup activities and transitions leadership responsibilities to the workgroup liaison over time.
- Facilitator support: Researcher staff member(s) who support the facilitator by taking minutes, writing notes, passing out handouts, handling pre-meeting logistics, etc.
- Workgroup Liaison: Point person for the CJ partner; this person will emerge to lead the workgroup as the intervention progresses.
- Supervisors (clinical supervisor, parole officer supervisor)
- Line staff (clinicians, parole officers)

[10] National Institute of Corrections, pp. 4 and 6, 2006.

Each member of the team plays an important role by contributing perspectives, experience, and knowledge to achieve workgroup objectives. The facilitator provides the leadership and direction for the team. However, in JCOIN, the facilitator's leadership responsibility and support are expected to transition to the workgroup liaison as the intervention progresses (i.e., coaching begins). As indicated above, the workgroup liaison emerges from the CJ agency representation on the team. While there is no specific point in time when this transition is supposed to occur, the facilitator will likely recognize a candidate for the workgroup liaison sometime during the early workgroup activities.

The workgroup liaison/JCOIN facilitator will collect and report data, foster continued engagement among workgroup members, and attend to other responsibilities discussed elsewhere in the manual. As the workgroup liaison takes on leadership of the workgroup, the facilitator assumes a role of support and assistance. The approach of establishing a workgroup liaison is important because they serve as a local inside leader for the learning collaborative between practitioners and researchers, thus promoting the sustainability of practices beyond the present initiative.

2.3.1 Workgroups and Workgroup Liaisons

Workgroups: Partnering agencies will benefit from receiving explicit information from the facilitator on the formation and utilization of workgroups. Workgroups are composed of members who have diverse backgrounds, given that their constituents represent different agencies and various organizational roles within any single agency. Thus, workgroups are diverse both internally (such that members represent multiple CJ agency roles) and externally (such that CJ staff interact with BH providers). A typical workgroup consists of 5-10 individuals, depending on the size and complexity of the agencies represented on the team. Workgroup members are united in their effort to improve the effectiveness and efficiency of services delivered to their client population.

Workgroup Liaison: Each workgroup will also include a workgroup liaison. The workgroup liaison is a CJ staff member within the workgroup who will serve as a point person between the workgroup and external facilitators. Workgroups are to be governed by the principles of dialogue and democratic process. However, the workgroup liaison is a team leader who will (1) have a broader scope of duties than other workgroup members, and (2) may increasingly take more responsibility for leading workgroup meetings as implementation ensues. This role is a vitally important one, and the JCOIN research team has created a position description for the workgroup liaison should you or the agency wish to consult it.

Alternate Workgroup Liaison: Also, we encourage agencies to select an alternate workgroup liaison for the duration of the JCOIN project. The alternate workgroup liaison can assist the primary workgroup liaison in discharging their responsibilities. The alternate workgroup liaison can also stand in for the primary workgroup liaison when schedule conflicts or other issues keep the primary workgroup liaison from attending meetings. Please note that although these two individuals will effectively function as a workgroup leader and co-leader, we use the term "workgroup liaison" in the singular for the remainder of this manual for stylistic convenience. Both workgroup liaisons can participate together in all facets of the project.

Facilitator Role as Coach to the Workgroup Liaison: The Facilitator Guide will be shared with the workgroup liaison once a person is identified to serve in that role. Part of your role as facilitator will be to serve as Coach to the workgroup liaison which will start after the Linkage Planning workgroup processing activity.

The coaching role will involve several aspects including:

- Training the workgroup liaison in facilitation techniques such as those included in this manual and in various project-related activities such as those included in Table 1.1

- Periodic check-ins to assistance with data monitoring (e.g., defining outcomes, output formatting, interpreting results), addressing implementation barriers, resolving interpersonal/team issues, developing plans for training/agency rollout, and developing agendas for ongoing workgroup meetings

While the workgroup at large will benefit from the facilitation you provide, the workgroup liaison will be your key partner and ally in the effort to promote quality improvement. As described more fully in this manual, you should gradually increase the workgroup liaison's responsibility for group facilitation as the project proceeds. By the completion of the project, the workgroup liaison should be a fully functional facilitator.

2.3.2 The Collaborative Nature of JCOIN

Upon reading the foregoing summary of JCOIN, you might believe that the success or failure of this initiative – rests largely upon your shoulders as a facilitator. While you are an especially important part of this initiative, JCOIN is a collaborative endeavor. The research teams and the larger team of JCOIN principals are committed to providing you with multiple means of support to help you succeed in your role as a facilitator. The following forms of facilitator training and support are specifically designed to assist you in executing your responsibilities.

Facilitator Training: In conjunction with this facilitator guide, you will participate in a facilitator training. The training is specifically designed to teach you a series of techniques to help you provide guidance to workgroups as they pursue their goals. The training will also provide skills to nurture the social dimensions of goal achievement, such as working to create an ethos of collaboration and shared responsibility, resolving conflicts that may emerge in the pursuit of particular objectives, and addressing other human facets of workplace and interagency collaboration.

We encourage you to consult notes you may take during the training, as well as training materials provided to you. If questions or concerns arise during your review of such notes or reflection upon the training you received, the JCOIN research team stands ready to address them. Although you are provided with structured support throughout your tenure as a facilitator (described below), you needn't wait for the next conference call with the facilitation team if some facet of the training is failing to produce the expected results.

Facilitator Guide: A large body of research in implementation science indicates that training alone is often insufficient at imparting complex skill sets. For that reason, you have been provided with this Facilitator Guide. We provide this guide as a resource to be studied most carefully from the outset and then continually consulted thereafter. We strongly encourage you to read this Facilitator Guide prior to initiating any facilitation with the workgroups. We recognize that learning styles differ.

In the spirit of promoting a collaborative approach to project implementation, Table 2.1 features the names and email addresses of facilitators affiliated with each JCOIN research team.

Table 2.1 Facilitator Contact Information

Research Team	Facilitator and Email Address
TCU	Jenni Lux, j.lux@tcu.edu; Chelsea Wood, C.M.WOOD11@tcu.edu; Pam Carey, pdcarey123@gmail.com; Amanda Wiese, A.WIESE@tcu.edu
UNM/PES	Roberta Chavez, robertac@unm.edu; Amber Dawn Martinez, asmartie@unm.edu; Rena Quintana, quintanar@unm.edu; Rose Armijo, rarmij01@unm.edu
Loyola/TASC	Dave Olson, dolson1@luc.edu; Dona Howell, dhowell8@frontier.com; Jon Ross, jross@tasc.org; Cierra McDonald, cmcdonald@tasc.org; Sophia Juarez, sjuarez@tasc.org

Chapter 3

Eliciting Participation, Information, & Ideas

3.1 Workgroup Development

This section discusses ice-breakers as a method for workgroup members to begin connecting and collaborating. Through ice-breakers, workgroup members can connect with one another by first name and become familiar with others in the workgroup, which is especially important on an inter-organizational team.

3.1.1. Introductions

The initial workgroup meeting provides you with an ideal chance to set the tone for the workgroup and make a positive first impression. A warm and relaxed demeanor during this meeting can go a long way toward helping workgroup members feel at ease with one another and comfortable with the tasks ahead of them. It is a good practice to learn the names of each workgroup member.[11] Facilitators can similarly encourage workgroup members to learn one another's names by providing nametags with names printed in large letters for ease of reading.[12]

Housekeeping tasks such as introductions and establishing ground rules can be accomplished in a relaxed atmosphere by engaging the workgroup in activities designed to "break the ice". Providing team members with an opportunity to get to know you and one another will help the workgroup develop a rapport and, ultimately, a sense of trust. Ice-breaking activities that are oriented around sharing some non-threatening personal information in a friendly fashion are especially helpful in building workgroup members' relationships.

You may choose one of the following ice-breakers ("Stand up if you…"[13] or "Introduce Your Partner"[14]) for your initial meeting, but not both given time constraints. The first two ice-breaker activities listed encourage the group to use creative problem-solving techniques and give participants a chance to get to know each other. [15] Once the group completes an ice-breaker activity, you should go into the introductory activity ("What do you want out of this group experience?").

Ice-Breaker: Stand up if you…[16]

The facilitator prepares a set of questions for a rapid-fire exercise that involves participants standing in response to questions that are fun and that can be either general or more specific to the study. No materials are needed but questions should be prepared in advance. The number of questions will influence the amount of time to complete this ice-breaker. The activity is a quick and easy way to learn more about each member of the group.

- Sample items that highlight talents: "*Stand up if you…*" *…can speak more than one/two/three languages*; *…can cook (what's your favorite dish)*; *…can dance.*
- Sample items that highlight fun facts: "*Stand up if you…*" *…sing karaoke; …eat dessert before the main course; …have worn mismatched shoes to work.*
- Sample items that highlight the focus of the LCT: "*Stand up if you…*" *…have participated on a change team; …are experienced with implementation research; …have facilitated a work group*.

[11] Keating, pp.42 and 49, 2003.
[12] Keating, pp.42 and 49, 2003.
[13] IDEP Foundation, p.7, 2006.
[14] IDEP Foundation, p.9, 2006.
[15] IDEP Foundation, p.9, 2006.
[16] IDEP Foundation, p.7, 2006.

Ice-Breaker: Introduce Your Partner

Activity Steps:

- Ask participants to find a partner, ideally someone that they know little about.
- Provide a set of questions to each pair.
- Instruct the group that they will have a total of ten minutes for their "interviews" of one another.
- When interviews are completed, gather the group together and ask each participant to introduce his or her partner. Plan on a maximum of five minutes per person to complete introductions, which will help manage the time for this activity.
- Including a "fun fact" question and encouraging participants to applaud will help to build enthusiasm!

  Sample questions:
  What is your name?
  What is your background?
  What do you hope to learn from being on the LCT?
  Tell me something interesting about you.
  What is the first music concert that you attended?
  Do you have previous experience with implementation?

When developing your question set, keep in mind that participants will have five minutes for interviews. This activity will provide you and the group with a snapshot of each participant.

Introductory Activity: What do you want out of this group experience?

After your group has completed one of the ice-breaker activities, gather participants together to discuss individual expectations for the workgroup experience. Displaying the expectations with the group demonstrates to participants that you value honest views and opinions. Additionally, the overview provides an opportunity for you to respond with your beliefs about expectations that are likely to be met and some that may not be realized during the course of the study. [17]

Activity Steps:

- Write the question (*What do you want out of this group experience?*) on a whiteboard or giant post-it
- Pass out a notecard to each workgroup member and ask them to take a minute or two to write down a response (this will help participants organize their thoughts)
- Gather notecards as workgroup members complete them and transfer responses to the board
- Process each workgroup member's expectations

3.2 Techniques for Eliciting Participation, Information, and Ideas

In your facilitation with workgroups, there may be instances where you can use specific facilitation techniques to engage the workgroup in strategic planning, information-sharing, and creative problem solving. These techniques can move the workgroup forward in their implementation efforts by drawing upon the knowledge and skills of all workgroup members. These techniques emphasize strategies for engaging all workgroup members in discussions as well as efforts to organize information that can then be used in their planning efforts. It is not expected that you will use every technique that is described. Rather, these techniques are intended to help you adapt to the unique culture and needs of each workgroup.

Each facilitation technique is described separately. However, in practice, you may find it helpful to combine strategies, such as one of the techniques for participation coupled with a decision-making strategy (Chapter 5).

[17] Keating, pp.42 and 49, 2003.

3.2.1 Round Robin

Members of the workgroup are likely to vary in the degree to which they are outgoing and their willingness to participate in the workgroup's discussion. The Round Robin technique provides an excellent method for encouraging all workgroup members to contribute to the discussion of a specific topic or issue. Here are the basic steps[18]:

- *Give a roadmap for the discussion.*
  - For example, "To get a discussion going about the treatment needs of an individual with substance use problems, I'm going to pose a question to all of you. I'll give you a minute to think about it, and then we're going to go around the room to hear what each person thinks about the question."
- *Pose a specific question or a statement with a "fill in the* blank" prompt to the team.
  - For example, "What is the biggest barrier to linking youth who have substance use problems to treatment services?"
  - Give workgroup members a minute or two to formulate their responses silently.
  - Go around the workgroup and ask each person to give a response to that question or prompt. The key is to be deliberate about letting each person speak without getting sidetracked by other people reacting to each person's response.

There are at least two major benefits to using the Round Robin technique during workgroup meetings. First, it ensures that all workgroup members actively participate in the discussion. This facet of the technique adds quality to the discussion while emphasizing that every member's perspective is important to the workgroup. A second key benefit is that this technique helps individuals learn from each other.[19] It is important to note that the Round Robin technique is different than Brainstorming. With the Round Robin, there is an intentional goal of hearing from every person, rather than seeking to get as many ideas as possible through a Brainstorming exercise.

3.2.2 Mapping

Mapping can be useful to enhance a workgroup's understanding about existing processes ("how things work"), identify where current processes break down ("why things don't work"), or consider potential new processes ("how things could work").[20] Mapping is sometimes also called flowcharting. In contrast to Brainstorming where the goal was to elicit as many ideas as possible, Mapping works to draw connections between ideas, and can often help a workgroup understand where bottlenecks occur or where processes could be improved. As such, Mapping can help workgroups explore ways to redesign work processes or re-engineer relationships between agencies (e.g., criminal justice and behavioral health agencies).

As a facilitator, your role is to solicit information from the workgroup and to start to organize the connections between ideas based on the workgroup's feedback. The basic steps of Mapping are as follows:

- State the purpose of Mapping (e.g., it is a way to draw on everyone's knowledge to identify all of the steps in a given process). [21]
- Identify the specific issue (that is, process) that the group will be Mapping while specifying the beginning and end points of the map.
  - It may be useful to identify the issue by posing a specific question to the workgroup.

[18] Yeres, & Collins, Module 4-2, pp. 91 and 110, 2001.
[19] Yeres, & Collins, Module 4-2, pp.91 and 110, 2001.
[20] Kirchner, Ritchie, Dollar, Gundlach, & Smith, p. 73, 2013.
[21] Collins, Yeres, & Smith, p.163, 2001.

- Invite workgroup members to fill in the steps between the beginning and the end.
    - It may be preferable to directly seek information from the individuals who are most directly involved in a given step or element.
- Use post-it notes to place elements on the map.
- Check with the workgroup to determine whether they agree with the placement of the elements, and adjust the map based on workgroup members' feedback.
    - *"Is this where this step occurs?" "If not here, where should this step go?"*
- Once the map is constructed, ask the workgroup if they agree that the map is an accurate representation of the process.
- After the workgroup has reached consensus about the elements to include on the map and the relationships between elements, you can add arrows to indicate relationships between elements.[22]

It is critical that the workgroup thinks through all of the steps in the process and identify the key stakeholders who are involved in each step.[23] No detail should be considered too small if it helps the workgroup understand the process that they are mapping.

The map can then serve as a springboard for additional discussion within the workgroup. (Hence, it is a good idea to have the map converted into a document form that can be distributed to all workgroup members.) For example, once the map has been constructed, it may be helpful to ask workgroup members to identify the most problematic steps or points in the process where bottlenecks are common. You may also want to ask the workgroup to consider whether there are wasteful steps in the process that the workgroup might work to eliminate.[24] The goal of this discussion is to generate ideas for improvements in the process that can then be translated into concrete action steps for the workgroup.

3.2.3 Brainstorming

On many occasions, a workgroup will need to identify creative solutions to challenges that are preventing the workgroup from reaching their goals. Brainstorming is a participatory strategy that encourages a workgroup to work on solving a problem. For simpler problems, the workgroup may be able to find a complete solution. However, brainstorming about complex problems may represent a starting point for building a plan to find a solution.

In its most basic form, Brainstorming involves generating a long list of ideas that can later be evaluated by the workgroup.[25] Brainstorming should encourage participation by everyone, but does not require the facilitator to go around the room and ensure that all workgroup members participate (as was true in the Round Robin described above). In addition to generating many ideas as quickly as possible, a hallmark of Brainstorming exercises is that all ideas are presented without discussion or judgment. By including all ideas in the Brainstorming session without editing, this technique is particularly useful in helping workgroup members learn how to listen to others without dismissing their ideas too quickly.

Your role in a Brainstorming exercise is to set the ground rules for the session and to lead the team through the following steps:

- Begin by stating a clear objective for the Brainstorming session.[26]

[22] Keating, p. 33, 2003.
[23] Kirchner, Ritchie, Dollar, Gundlach, & Smith, p. 73, 2013.
[24] Collins, Yeres, & Smith, p. 163, 2001.
[25] Collins, Yeres, & Smith, p. 161, 2001.
[26] US Patent and Trademark Office, Office of Quality Management, p. 14, 2000.

- Set the basic ground rules:[27]
  - Brainstorming is used to generate as many ideas as possible.
  - All ideas will be included because every participant has valuable contributions to make.
  - Workgroup members need to withhold judgment about specific ideas as they are presented.
  - Workgroup members shouldn't be afraid to articulate "wild" ideas. Brainstorming is the time for "outside the box" thinking.
- Have a plan for who will write down all of the ideas (e.g., you or another person designated to write down the ideas on a white board, flip pad, or sheet of paper) and make sure workgroup members have supplies (e.g., pens and paper) to jot down their ideas.
- Give workgroup members a few minutes for silent brainstorming (and encourage them to write down their ideas).[28]
- Ask workgroup members to present their ideas and have all ideas down. (Remember: Ideas are just stated, not discussed/evaluated.)
  - You might use a Round Robin strategy to organize the presentation of ideas and then open up the floor for additional ideas after everyone has had a turn to speak.[29]
- Brainstorming ends when there are no new ideas.[30]

This Brainstorming exercise may need to be modified if your workgroup is large. Consider breaking the workgroup into subgroups of 3-6 members and have each sub-group work independently on going through the steps of Brainstorming.[31] Once all subgroups have completed their independent brainstorming, each subgroup should present their results to the entire team.

Once the workgroup has exhausted its list of ideas, you will need to work with the workgroup to translate those ideas into strategies and plans that can then be moved forward. One option is to begin a workgroup discussion that engages the workgroup members in identifying the most feasible, most efficient, or most desirable options on the list. If the list is particularly long, you may want to consider a strategy that helps teams filter down the ideas into a more manageable list and, if possible, reach consensus about a plan of action (see Chapter 5 discussing Workgroup Decision-Making Tools, for additional discussion of such options).

3.2.4 Cause-Effect Diagram

Sometimes a workgroup may agree that a problem exists (or alternatively, agree that a particular outcome is desirable). However, the workgroup may not yet know the causes of that outcome. Cause-Effect Diagrams can help a workgroup identify and organize the causes of a given outcome (regardless of whether the outcome is positive or negative). Typically, the outcome is specified at the beginning of the exercise and the workgroup brainstorms about the causes of that outcome. As a workgroup reaches consensus about the causes of an outcome, it is depicted visually in a Cause-Effect Diagram. This approach can help the workgroup to identify strategies that seek to enhance "positive" causes or to mitigate "negative" causes. (Keep in mind that all might not agree on what constitutes a positive or negative outcome, or may disagree about the prioritizing of various outcomes. So, making some of these determinations beforehand can be helpful.)

To lead a workgroup in constructing a Cause-Effect Diagram, consider the following steps[32]:

- Instruct the workgroup on the rationale for the brainstorming and diagramming that will occur.

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27 IDEP Foundation, p. 27, 2006.
28 US Patent and Trademark Office, Office of Quality Management, p. 14, 2000.
29 US Patent and Trademark Office, Office of Quality Management, p. 14, 2000.
30 Yeres & Collins, Module 5-8, p. 111, 2001.
31 IDEP Foundation, p. 28, 2006.
32 Collins, Yeres, & Smith, p. 167, 2001.

    - For example, *"Today, as a team we are going to work on identifying all the ways that an individual with a substance-use related treatment need is successfully linked with treatment, which I'm going to call the 'outcome.' First, we'll brainstorm about all of the possible ways that this outcome may occur. By thinking through all the possible factors, we might identify causes that we can then focus on as our team thinks about process improvement strategies."*
- Use Brainstorming techniques to ask the workgroup for all the possible causes of the outcome (see the Brainstorming section of this chapter).
    - The outcome should be printed on a large sheet of paper or a white board (toward the right side) because it is the beginning of the diagram.
    - All ideas of causes should be recorded on index cards or post-it notes, with just one cause per index card or post-it note
- When Brainstorming is complete, invite the workgroup to examine the cards or post-it notes and to start grouping similar causes together. Ask them to do this silently unless they disagree with where a specific card/note has been placed.
    - If disagreements emerge about where to group a particular cause, make a duplicate of it so that it can be placed in both groups.
- After 5-15 minutes, engage the workgroup in a discussion about the groupings by asking them to come up with a heading that best describes each grouping.
    - For example, *"Here is a grouping that includes… [read the list of causes in the group]. What is a heading that describes this group?"*
    - Once there is agreement on the heading, that heading should be added to the diagram along with the specific causes grouped under that heading.
- Then, the workgroup needs to decide which causes are worthy of further investigation, based on which causes are likely to have the greatest impact on the outcome.
    - For example, *"Which of these causes are the strongest influences on successfully connecting an individual to substance use treatment?"*
    - Then, *"Are these the same causes that we, as a team, are most able to address in our change efforts?"*

It may be the case that the workgroup needs additional information about a cause before it can move forward with planning a PDSA cycle that addresses that cause. The need for more information is likely to be the norm particularly when causes are complex. The key is that members of the workgroup need to take responsibility for obtaining the specific information and presenting it to the group at the next workgroup meeting.

This Cause-Effect Diagram can be a useful tool for helping the workgroup reach consensus about priority areas that they may seek to address as they move through PDSA rapid change cycles. In addition to helping the workgroup think about the next steps, the Cause-Effect Diagram can be used in future meetings to remind the workgroup about the agreement that they have reached about these priorities. If the workgroup is successful in a PDSA cycle that addresses one cause, they may want to return to the Cause-Effect Diagram in future meetings to identify a new target (that is, cause) for another PDSA cycle. Thus, the Cause-Effect Diagram can be a useful exercise in planning change but also as a reminder at future meetings about the priorities of the workgroup.

Plan-Do-Study-Act (PDSA) Cycle
The PDSA cycle is used to test whether potential changes and ideas are workable and produce the desired outcomes. The core idea of the PDSA cycle is that it is a rapid cycle. That is, workgroups should conduct small, brief, relatively inexpensive tests before deciding whether to devote a lot of resources to fully implement a new way of working. Small scale, rapid tests can help determine whether a desired change can be done and whether the change is worthwhile (i.e., effective and cost-effective). The PDSA cycle has the following stages: • PLAN – designing a test to investigate a particular question or idea • DO – conducting the test • STUDY – analyzing the data and summarizing the lessons learned • ACT – deciding whether the tested solution should be implemented or whether another solution should be tested Features of the PDSA cycle include: • The change leaders keep track of all PDSA cycles • PDSA is a **continuous process**: the workgroup will typically start a new PDSA cycle soon after finishing a prior one • The change leaders first decide on goals for improvement, and then use as many PDSA cycles as needed to incrementally test (small) changes until the goal is achieved or revised • To reach some goals/goal steps, one or only a few PDSA cycles may be needed; for other goals/goal steps, many PDSA cycles may be required before reaching or revising the desired goal

3.2.5 Brief Strengths, Weaknesses, Opportunities, Threat (SWOT) Exercise

Sometimes a workgroup may need to evaluate a potential course of action or potential decision before it can reach consensus about moving forward. A brief SWOT exercise may help guide the workgroup through a structured discussion about such decisions or courses of action and can ultimately help the workgroup decide whether to pursue them or not. By having the workgroup discuss the strengths, weaknesses, opportunities, and threats associated with a particular decision, the workgroup may be better able to evaluate the wisdom (or folly) or pursuing that decision.

Historically, the SWOT has been conceptualized as having two dimensions, whereby the strengths and weaknesses were thought about in terms of the internal environment while the threats and opportunities were viewed in terms of the external environment.[33] These distinctions may not be as relevant today, particularly given the inter-agency relationships that are foundational to the effort of the workgroups in JCOIN.

At the heart of a SWOT exercise is a diagram that should be drawn out on paper. The diagram featured here can be used, or you may download a diagram from any one of literally hundreds of SWOT templates online. Across the top, you will see that the issue or potential decision should be described. This element of the diagram orients the team to the specific decision they are analyzing. Below that are four quadrants, one for each of the four letters in SWOT.

[33] Keating, p. 34, 2003.

Table 4.1 SWOT Chart

Issue/Decision:	
Strengths	Weaknesses
Opportunities	Threats

As the facilitator, there are several methods for actually engaging the team in the SWOT exercise. The first option is simply to have individuals work on their own SWOT diagrams for a period of time and then have each person describe their SWOT to the workgroup. As the facilitator, you may wish to integrate all of the individual SWOT diagrams into a large diagram that can be seen by all the workgroup members. Alternatively, you can use the Brainstorming technique (previously described) to engage the entire workgroup in filling out the SWOT diagram collectively. Finally, you might want to break the workgroup into two or more subgroups who can work through populating the SWOT quadrants and then return to the full workgroup and report about their subgroup SWOTs. In this scenario of subgroups, you would again want to integrate the subgroup SWOTs into a larger diagram that can be seen by the entire workgroup. [34]

While the SWOT diagram itself is an informative exercise for the workgroup in evaluating a potential decision, it is important to ensure that the workgroup uses that information to reach consensus about moving forward or not—and if the workgroup decides to move forward, it needs to discuss next steps and engage in planning to put that decision into action. In some cases, the workgroup may clearly favor moving forward (or decide not to move forward). In other cases, it may be necessary to engage the workgroup in a consensus-reaching exercise. Techniques for helping the workgroup reach consensus are described in Chapter 5, "Group Decision-Making Tools".

3.2.6 Small Group/Subgroup Breakouts

When workgroups are large, it may be more effective to divide the workgroup into smaller subgroups while facilitating one of the previously described exercises (e.g., Brainstorming, Cause-Effect Diagram, SWOT). When subdividing the workgroup, consider whether you want the subgroups to tackle the entire exercise or just a portion of the exercise (perhaps through a division of labor). For example, you may want the workgroup to engage in Brainstorming, but decide to break the workgroup into two subgroups and ask each subgroup to complete the entire Brainstorming exercise.

Alternatively, you may ask subgroups to tackle specific subsections of a Mapping exercise or a subset of the quadrants in a SWOT exercise. Regardless of whether the small groups engage in a full exercise or just a portion of the exercise, three basic principles will ensure that the subgroups contribute to the workgroup as a whole.

1. Include a "reporting out" period from the small groups. There should be time spent allowing each subgroup (or a delegate from each subgroup) to share the results of their small group's work with the entire workgroup.

[34] Keating, p. 35, 2003.

2. Discuss how the subgroups' work fits together in the context of the whole workgroup. As the facilitator you might highlight points of agreements between subgroups and then note areas of disagreement (or unique insights provided by a subgroup). Alternatively, you can ask the whole workgroup to take responsibility for identifying points of agreement and disagreement (and ways to bridge the disagreements).

3. Discuss the implications of the subgroups' work for the workgroup's movement forward. It is critical that the exercise helps the workgroup to move forward towards its goals. It is vital that exercises help the workgroup make progress on establishing "next steps" or "plans for action." And identify who is responsible for any steps that are agreed upon by the workgroup.

Chapter 4
Managing Group Dynamics

Overview

This chapter provides you with techniques and strategies to address circumstances that may disrupt the flow of work as you lead your workgroup. You may be confronted with some, all, or possibly none of the challenges described here. However, capable group leadership entails an ability to identify conflicts and adversities, recognize their possible sources, and pinpoint prospective avenues of resolution.

4.1 The Challenge of Teamwork

Working in a group may present you with some unique challenges as a facilitator. The workgroup was specifically developed to advance the use of evidence-based practices in providing services to individuals in the criminal justice system, particularly those with substance use problems. Although members of the workgroup have agreed to work together, their agreement on this overarching objective does not guarantee that all of them will embrace a shared vision for accomplishing workgroup goals at all times. Any single workgroup is made up of representatives from different organizations. And, even within any single agency, individuals on the workgroup have varying roles and responsibilities. Therefore, it is expected that their backgrounds, experiences, values, and so forth will shape their perspectives and the lens through which they process information. These various axes of diversity can provide richness to workgroup discussions but could also, from time to time, give rise to conflict.

As a facilitator, it is up to you to recognize the outward manifestations of these underlying issues if they emerge. This chapter deals with some of the more challenging facets of workgroup dynamics. It is important to distinguish between group conflicts and other adversities. Both of these types of challenges can undermine the performance of a workgroup, but they often take different forms and operate in distinct fashions.

4.2. Stages of Group Development

At a basic conceptual level, consider that your group has a "lifecycle" with early, middle, and late phases.[35] Groups move through phases at different paces thus recognizing group process will help to reduce the likelihood that the group gets stuck in a phase and become unproductive. You can incorporate techniques to elicit group participation (Chapter 3) and strategies to manage group dynamics (Chapter 4).

The following table[36] featured on the next page offers a detailed illustration of the relationship between the facilitator and the stages of team development by Tuckman and Jensen (1977). During the *forming* phase of group development, facilitation efforts are aimed at providing direction for the group. These efforts often include setting the climate, clarifying roles and expectations, defining goals, providing structure, and building the group identity. The recommendations and activities in this chapter address this early phase of group development and the facilitator role in preparation for the *storming* phase that typically follows. As the group matures, leaders emerge, and work moves forward. The facilitator role shifts from being the leader (forming stage) to supporting the group in other ways (e.g., helping to foster communication, resolve conflicts, etc.). Despite changes during group development, your role as facilitator is a major influence in building trust with team members. Workgroup members will look to you for direction, and your demeanor and remarks will serve as a model for others.

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[35] Keating, pp. 68 and 75, 2003.
[36] National Institute of Corrections, pp. 6 and 8, 2006.

Table 4.1 Stages of Group Development Summary

<table>
<tr><th>Objective</th><th>Stages of Group Development</th><th>Role of the Facilitator</th></tr>
<tr><td>Developing a positive working environment</td><td>Forming
Becoming oriented
Developing commitment
Needing direction
Wanting to be accepted</td><td>Direction
Climate setting
Clarifying roles, expectations
Defining goals & providing structure
Group-building</td></tr>
<tr><td>Dealing with issues of power and control</td><td>Storming
Consolidating influence
Confronting dependency on the leader
Conflict among group members
Low level of work</td><td>Coaching
Surfacing issues, legitimizing concerns
Facilitating communication
Managing conflict
Inviting input and feedback
Expecting and accepting tension</td></tr>
<tr><td>Managing conflict and establishing ground rules</td><td>Norming
Resolving control concerns
Establishing group agreement</td><td rowspan="2">Supporting
Offering your own ideas and resources
Sharing the leadership role
Being available for consultation
Smoothing the boundary between the group and the organization</td></tr>
<tr><td>Functioning as an effective group</td><td>Performing
Working productively towards shared goals
Problem-solving & decision making
Open communication and trust
Dealing with conflict</td></tr>
<tr><td>Terminating the group's work</td><td>Adjourning
Creates apprehension
Regression in maturity level
Need help to say “good-bye”</td><td>Delegating
Supporting, letting go
Helping the group deal with termination</td></tr>
</table>

4.1.2 Group Conflicts: Definition and Types

Conflict, as we use the term here, is discord or antagonism that emerges between two or more workgroup members. Conflict, by our definition, always involves more than one workgroup member. Two workgroup members may disagree about the pursuit of a particular goal. Simple disagreement does not alone constitute conflict. However, when disagreement devolves into antagonism, such as deriding an idea put forth by a colleague as “ignorant,” “foolish,” or other criticisms deemed offensive by a colleague, conflict is the result. Sometimes, the behavior of one individual might be the primary source of workgroup conflict. But the key point here is that the group conflict affects more than that single individual.

Group conflict can be manifested in different ways. Sometimes, as in the examples listed above, conflict may be overt. Overt conflict is discord that can be readily recognized by an observer of a workgroup and may even be apparent to most of the workgroup members. Most people would recognize the public denigration of a colleague (“muddle-headed,” “lazy,” etc.) as evidence of an overt form of conflict. More tempered language that aims to express dissatisfaction with an authoritarian leadership style (“top-down”) or a colleague’s penchant for individualism (“not a team player”) could also be seen as evidence of conflict, though care must be taken in arriving at such a conclusion. In the examples provided here, it is important to note that some forms of expression (e.g., “not a team player”) are more actionable in terms of pinpointing the nature and source of antagonism. Constructive expressions of dissatisfaction with colleagues or a work setting increase the prospect of finding avenues for resolving the frustration, perhaps even before they rise to the level of outright conflict. Labels that lack such specificity (e.g., “muddle-headed”) require more probing to determine the precise nature of the perceptions, their source, and their possible solutions.

Conflict may also surface in more subtle fashions. Covert conflict is more difficult to detect and is generally more common. And, because they lurk beneath the surface, these forms of discord can be more insidious in their destructive effects. Covert forms of conflict may be manifested through bodily gestures (e.g., rolling one’s eyes when a colleague makes a point) or interaction patterns (e.g., the repeated interruption of a colleague in a meeting) that might not be easily recognizable as conflict. Here again, the mere expression of disagreement on a discussion point should not be interpreted as discord. Different viewpoints can often lead to healthy compromise or may contribute to the generation of novel ideas and creative solutions. The manner through which such disagreement is expressed is critical. And when divergent viewpoints surface, functional workgroups recognize that such disparities present an opportunity to consider an issue from multiple vantage points.

Conflicts that may emerge within the context of a workgroup may not originate with the relationships between workgroup members. Hence, it is wise to avoid presuming that conflicts are always of a “personal” nature. A staff person who is frustrated by his or her work environment (e.g., poor compensation, lack of autonomy, unrealistic supervisor expectations) may import such frustrations into the workgroup and friction within the workgroup may result. Hence, the possibility of workplace “spillover” into the workgroup is possible. An agency whose work environment is viewed as unsupportive of its staff or one that always seems to be in a “crisis mode” might lead to challenges in the context of workgroup interactions. Much of what follows will help you address conflicts that vary in nature (overt and covert) as well as source (personal and structural).

4.1.3 Adverse Situations: Definition and Types

Adverse situations, as we define them, are activities, circumstances, or conditions that may undermine group process but generally fall short of explicit discord or antagonism. The two most common forms of adverse situations are disruptions and off-task behaviors. A side conversation between two members of a workgroup that is carried on in audible tones during a larger discussion among the workgroup is often disruptive. Some disruptions are more circumstantial, such as when a meeting is regularly interrupted by organizational crises that demand immediate attention. Adverse situations can eventually give rise to workgroup conflict if they are not addressed. Protracted and repeated side conversations, particularly those that occur at critical junctures in a meeting, may generate widespread frustration within the workgroup that leads to antagonism and factionalism.

Reading and sending text messages during a workgroup meeting is an example of an off-task behavior. Off-task behaviors often reflect disengagement from the workgroup. While they are not directly disruptive, off-task behaviors can quickly undermine the workgroup’s collective commitment to its goals. If ignored or left unchecked, off-task behaviors can produce a domino-like withdrawal of each member from the workgroup, thereby undermining cohesion. In this scenario, one person might have initiated the off-task behavior by paying more attention to his or her mobile device than to the meeting. Upon observing this behavior, others may ask themselves why they should be engaged in a meeting where such inattention is permitted.

4.2 The Benefits of Managing Group Dynamics and Adverse Situations

A workgroup that regularly wrestles with such challenges is likely to underperform. The selection of goals will generally take longer on a high-conflict workgroup, and coordinated action will be more difficult to cultivate. So, one motivation for managing workgroup conflicts and adverse activities entails avoiding negative performance outcomes. As a facilitator, you are charged with providing direction and support that will optimize workgroup functioning, and this includes recognizing and helping to resolve situations that may obstruct a workgroup from fulfilling its mission. These situations, if they surface, are probably not going to be the most enjoyable part of your role. But they are necessary skills to employ as circumstances demand. As you develop more experience in this area of workgroup functioning, overcoming conflict will become more comfortable and can be quite rewarding.

It is also important to recognize that workgroup conflicts and adverse situations are not uniformly negative. First, when dealt with properly, conflict can unleash significant growth within the workgroup and among its individuals. Some of life's most memorable lessons are the product of difficult experiences, and the same principle applies in professional workgroups. Discord within a workgroup can provide an opportunity to learn about a workgroup member's preferences and, if appropriate, may foster behavioral adjustments based on that individual's preferences. Adverse situations, such as side conversations and texting during a meeting, can provide a forum for revisiting the workgroup's ground rules or, if needed, redefining its boundaries to accommodate circumstances that were not initially anticipated. In this way, conflict and adversities can hone and sharpen skills within the workgroup and among its individual members that would have otherwise lain dormant.

Second, once they are resolved, conflicts and adversities can have practical value. Effectively resolved conflicts can generate increased workgroup cohesion, thereby providing a sense of camaraderie and trust that is an asset in the pursuit of goals. Overcoming conflicts can also foster long-term efficiency gains as formidable obstacles to workgroup functioning are gradually removed and interactions become increasingly smooth and natural. Also, when you intervene to help a workgroup navigate its way through difficult territory (e.g., strained interactions, factionalism, and inattention on the part of one or more members), the workgroup sees firsthand evidence of your commitment to its welfare. Hence, conflicts and adversities not only present the workgroup with growth opportunities. They also provide a chance for you to demonstrate that you are part of their workgroup while underscoring how the workgroup can benefit from your direction as a facilitator.

4.3 Strategies for Managing Group Conflicts and Adverse Situations

What follows consists of a combination of broad direction for getting workgroups back on track as well as some specific tactics you can use when faced with particular challenges. Recall that you will have plenty of opportunities to discuss challenges you face, as well as recommendations for improved outcomes, during coaching calls.

Laying a Firm Yet Flexible Foundation: Many of the facilitation techniques discussed in previous chapters of this manual, when mastered, can help you avert workgroup conflicts and adversities. Having the workgroup establish clear ground rules to govern its interactions can be especially helpful. Ground rules may include foundational principles such as "workgroup members can disagree without being disagreeable," perhaps bolstered by some hypothetical examples of acceptable and unacceptable expressions of disagreement. A related ground rule could also set the expectation that interpretations be communicated as perspectives rather than objective facts (e.g., "From my vantage point…" or "Based on my experience…"). The workgroup might recognize that people's interpretations of facts may lead to distinct understandings of them and what actions are required.

The workgroup may also want to establish very pragmatic ground rules about meeting attendance, the avoidance of distractions during meetings, and other practical or procedural considerations. Specific ground rules may vary from one workgroup to another. But having ground rules to which all can agree, regardless of their content, is an optimal strategy for averting problems later on. The reiteration of these ground rules early on can be helpful. Waiting to reiterate ground rules until they are violated can alternatively be viewed as too little too late or may be seen as "calling out" a workgroup member, even if not by name. So, ensuring that all participants agree to the content of the ground rules and agree to abide by them can go a long way to averting conflicts and adversities.

Emergent circumstances might provide an opportunity for ground rules to be revisited and, as needed, amended. Early on, the workgroup might have agreed that text messages would not be read or sent during meetings due to the distractions they invite. However, the personal circumstances of one workgroup member (e.g., a sick child at home being monitored by a babysitter or the prospect of a crisis situation developing within a department of the criminal justice agency) might be an occasion to revisit this rule. Inflexibility on this sort of point can place workgroup members in the awkward position of electing not to attend the workgroup meeting at all for fear of being perceived as violating the group's no-texting rule. Ideally, the prospect for situation-specific exceptions to ground rules could be articulated once those rules have been established. If exceptions are needed, the sharing of a bit of information with the workgroup ("James has a situation today that requires some monitoring") can preserve workgroup cohesion.

Getting to the Source and Understanding the Context: When interacting with others in a group setting, people bring with them a host of expectations, attitudes, and experiences. All of these factors will influence the way they interact with others and the manner in which they express themselves. Quite often, these expectations, attitudes, and experiences are not made explicit. And, when surrounded by people who are similar to us (which sometimes occurs in an organization with tightknit social networks), we may begin to take these expectations, attitudes, and experiences for granted. In such situations, workgroup norms need not even be articulated because they have become part of the workgroup's operating assumptions. They are the workgroup's taken-for-granted reality.

From time to time, conflicts or difficulties might emerge because people occupy different social worlds governed by very distinct operating assumptions. For example, a workgroup member who works in an agency that has long championed a client-centered approach to service delivery is going to be principally concerned with ascertaining the needs of a particular client and mapping out a plan to address those needs. The organizational culture in this agency may support an approach to service delivery that is highly individualized and quite flexible. By contrast, a workgroup member who works in an agency governed by a more standardized approach to service delivery might not see the value in this individualized service provision model. The individualized approach might be seen as a recipe for programmatic confusion and the unequal treatment of clients. In point of fact, this example is not terribly far-fetched.

The key point is that individualized programing models have not been embraced throughout the field of the human services. Some charge that ensuring evidence-based program fidelity can be difficult when using tailored treatment modalities and therefore favor a more standardized approach to service provision. Different views about this issue, and others like it, could produce tension in goal selection and action plan generation or implementation on workgroups if members are not invited to expound on their operating assumptions. By contrast, enriched understandings, broadened horizons, enhanced workgroup cohesion can result from providing a forum for workgroup members to learn from one another's (often taken-for-granted) operating assumptions.

<u>*Using "Get to the Source" Questions:*</u> The foregoing vignette about different approaches to individualized service delivery is designed to illustrate the importance of two key skills used by astute facilitators. First, when different views are expressed in such strong terms that they seem irreconcilable, a facilitator can ask some "get to the source" questions designed to reveal the operating assumptions that lend legitimacy to a particular viewpoint. "Get to the source" questions often begin with the words "how" and "why," as in: "Bonnie, you seem to prefer an individualized approach to delivering services to clients. How does your agency provide individualized services, and why do you prefer this approach?" If Bonnie's behavioral health agency has long embraced what is often called "individualized care," she may not have had to explain or justify this approach to her immediate colleagues because they share her commitment to it. However, in a diverse workgroup that reaches outside the behavioral health community, others may not share this view. Bonnie's commitment to individualized care may seem odd and even incompatible with a more standardized approach used in other human service fields or different agencies. In fact, her use of the term "care" to describe the services she provides might be equally perplexing to workers outside her field. However, through skillful facilitation, different sets of

workgroup members can begin to understand their colleagues' distinctive operating assumptions. Differing paradigms may or may not be reconcilable. But, when facilitators invite workgroup members to articulate the "how" and "why" of what they believe, those views will at least seem reasonable to others and an appreciation for people who "do things differently" can be cultivated.

Considering Structural Influences: A second valuable skill entails exploring how contextual (structural) factors can influence people's views and operating assumptions. Organizational structure is commonly defined in terms of both rules (policies, procedures) and resources (investments, rewards). Bonnie's performance evaluations might specifically require evidence of the provision of individualized care to her behavioral health clients. Bonnie might be required to marshal such evidence in her case records. Client evaluations might inquire about their receipt of this form of care. And perhaps clinical supervision is used in her agency to ensure that individualized treatment plans are developed and implemented. Resources might have been allocated in this agency to ensure this highly prioritized objective is met. In short, the rules and resources that govern service delivery in this agency are all predicated on individualized care. These structural features are unlikely to exist in an agency that is governed by a more standardized model of service delivery. Thus, operating assumptions and patterned behaviors are often supported by structural factors (policies and procedures) that applied to evaluate performance in a workplace setting. These structural factors hold people accountable for adhering to the performance expectations, which is why people scrutinized by them often become quite wedded to them.

The key point here is that if operating assumptions and contextual influences are left unexplored, misunderstandings and even conflicts are more likely to occur. Agreement on goals and consensus on the proper courses of action to pursue those goals will be fostered when people understand one another. With these considerations in mind, facilitators should be willing to explore underlying factors. How and why questions should never be articulated in the form of an interrogation. Rather, they should be expressed as an invitation for workgroup members to share the values and experiences upon which their deeply held perceptions are founded.

4.3.3 Managing Disruptions and Off-Task Behaviors

In what follows, common behavioral challenges are listed along with several possible responses to them.

1. Issue: Side Conversations and Jokes

Participants are not taking part in the discussion but are engaged in their own conversation punctuated by laughter and inside jokes. You may respond in one of several ways.

- *Ineffective Response*: Ignore the behavior with the hope that it will stop. Sometimes it does, but it frequently gets worse.
- *Effective Response 1*: With warmth and humor, make an appeal for decorum. "As you know, those who don't hear the joke often wonder if someone is laughing at them."
- *Effective Response 2*: Adopt a practical approach without calling out anyone in particular. When coming back from a break, you might state: "If we could limit side conversations during our meeting, that would be really helpful for maintaining everyone's attention."
- *Additional Considerations*: If the problem persists, perhaps there is a reason. Has the topic become boring and stale? Do people need a break? Or the reverse may be true, such that everyone needs time for a small group discussion because important work could be accomplished this way.

2. Issue: Group is Unfocused or "Playing Around"

Work accomplished during a workgroup meeting will vary with the degree of focus that members bring to that workgroup meeting. If your workgroup becomes unfocused or there is excessive "playing around," consider the following.

- *Ineffective Response*: Force the group to "refocus," even if it entails a battle of wills.
- *Effective Response 1*: Context may contribute to the lack of focus. If the problem is minor or emerges near the end of the meeting, request that the workgroup members concentrate solely on finishing the single task before them. Perhaps some positive feedback will help them. For example, consider stating: *"We have worked really hard on a number of important issues this meeting and some of us may be a bit worn out. If we can focus on completing [the lone remaining task], it will make a great end to our meeting."*
- *Effective Response 2*: Take a break as soon as time permits. The workgroup may be tired and over tasked. After a brief break, they may be better able to focus. If the problem is seriously undermining the performance of the workgroup, deviating from the agenda with an unscheduled break may be useful.
- *Additional Considerations*: Humor can facilitate bonding and rapport within the workgroup. Be sure to distinguish between constructive humorous remarks from "playing around" that undermines the focus and productivity of the workgroup.

3. Issue: Discussion Stalls Around Trivial Procedures

Discussions may occasionally fail to progress as intended, sometimes due to a focus on items that are not significantly related to the overall objective of the meeting. Again, an ineffective response is provided below, followed by two effective responses.

- *Ineffective Response*: Lecture the workgroup about wasting time and "spinning our wheels."
- *Effective Response 1*: Remind the workgroup of its overall objective and ask them to evaluate whether the issue being considered is directly relevant to it. Show openness to the possibility that the current discussion theme is related to the objective, but perhaps the connections are not obvious and could use some clarification.
- *Effective Response 2*: Have the workgroup step back from the content of the particular issue and talk about the larger process. If the discussion seems to have stalled, try to get to the real reason this has occurred.
- *Additional Considerations*: Definitions of "trivial" procedures or "tangential" issues may vary from one workgroup to the next or even among members within a single workgroup. Avoid presuming that the workgroup will share your evaluation of an issue as trivial without first checking into the prevalence of this understanding. It may be wise to inquire about the degree to which the issue must be resolved before the workgroup proceeds.

4.3.4 Five Facilitator Responses to Disruptive Behavior

A facilitator may respond to disruptive behavior in different ways. An ideal response depends on (1) the behavior in question and (2) the circumstances surrounding the behavior. Moreover, each response is characterized by advantages and disadvantages, as indicated in **Table 4.1**.

Table 4.1. Facilitator Responses to Disruptive Behavior

Response Option	Advantages of the Response	Disadvantages of the Response	Appropriate Training Situation for Response
1. Avoidance: Ignore behavior and proceed with agenda or program	1. Requires little energy from trainer or group 2. May be corrected through peer pressure 1 Low risk to trainer 3. Allows for use of other options in future 4. Consistent with Adult Learning Theory	1. May lead to escalation of behavior 2. May encourage others to behave similarly 3. May result in greater loss of control 4. May undercut trainer's confidence and self-esteem if behavior persists	1. Strong interest exhibited by most trainees 2. Behavior occurs near the end of class 3. Behavior reflects apathy or withdrawal
2. Acceptance: Discover reason for disruption and adjust agenda or program accordingly	1. May require little energy from the trainer or group 2. Low risk to trainer 3. May defuse hostility 4. Increases trainee involvement	1. May lead to escalation of behavior 2. May tacitly encourage disruptive trainee 3. May lead others to adopt disruptive posture 4. May lose important training content	1. High trainee apathy 2. Hostile withdrawal 3. Apathetic or hostile diversion is supported by other trainees
3. Adaptation: Divert trainee resistance to support training	1. Encourages participation 2. Defuses and vents hostility 3. Maintains trainer control 4. Recognizes participant concerns without losing content by integrating both	1. High expenditure of energy 2. Requires considerable trainer skill 3. Is manipulative and may be seen as such by trainees 4. Slightly more risky because adaptation can degenerate into an argument	1. High level of trainee knowledge 2. Strong support of disruptive trainee(s) by others on team 3. Hostile or apathetic action causes disruption 4. Trainer has wide base of knowledge or conceptual understanding of topic
4. Standing Fast: Continue with planned program or agenda despite trainee discontent and unrest	1. Maintains trainer control 2. Maintains content integrity of agenda or program 3. Simple to accomplish because adheres to original plan	1. Requires high amount of energy 2. Highly abusive to trainee 3. Could lose total control 4. Could lose class respect for trainer	1. High need for program integrity 2. Trainee support for staying with course material is generally high 3. Hostile diversion is the primary style of the disruptive behavior
5. Pushing Back: Directly confront and address disruptive behavior	1. Option of last resort 2. Establishes trainer authority 3. Maintains trainer respect	1. May create martyrs among trainees and solidify their opposition to trainer 2. May reduce respect for trainer 3. Often creates conflict 4. May force trainees to choose sides 5. No-win situation (possibly)	1. Intimidation of class by trainee 2. High need for trainer respect 3. Disruptions have increased and other options have not helped

Source: National Institute of Corrections (2006).

4.4 Techniques for Keeping the Group on Track

In the workgroup, there may be times that the following techniques can be helpful in managing discussion and not allowing the workgroup to get overly distracted by the large number of ideas that it may generate.

"Talking Ball" or "Talking Stick": Sometimes workgroup discussions can be difficult, particularly if there are individuals in the workgroup who monopolize the conversation or who frequently interrupt others who are talking. "Talking ball" or "talking stick" simply refers to using an object to symbolically indicate who is allowed to speak without interruption. In essence, the person who holds the object can continue to talk, uninterrupted, until they are finished. When they are finished, that individual can pass the object to the next person who has indicated that he or she wishes to speak.[37]

If you decide to use the "talking ball" technique, you will need to introduce the ground rules and then enforce them. Specify to the workgroup before starting this process that only the person holding the object may speak and that they must not be interrupted. Individuals who wish to speak next should raise their hands and wait until they are selected to speak. If workgroup members interrupt, you should kindly but firmly remind them that they cannot speak without holding the object and that they must wait their turn.

Parking Lot: There may be times that ideas are generated during a meeting but cannot be fully discussed or resolved in the time that is available. The "Parking Lot" is a method to ensure that ideas are not lost or forgotten even though they cannot be addressed during a given meeting.[38] It can also be useful for situations where moving forward requires input from someone outside the workgroup (that is, the issue is placed in Parking Lot until outside information is obtained)[39] or when an idea is taking the workgroup off of its primary tasks for the meeting.

On a large sheet of paper, or within a flipchart, simply label it, "Parking Lot" and write down the idea so that the workgroup can return to the issue at a future meeting. That sheet of paper needs to be brought to future meetings, during which additional ideas may get added to the Parking Lot or issues listed on the Parking Lot may be included in the agenda. When you use the Parking Lot technique as a facilitator, be sure to explain to the group how the Parking Lot is being used (that is, be transparent about why the idea or issue needs to go in the Parking Lot and when it will be addressed in the future). You may also want to designate who in the workgroup will be responsible for bringing that issue up at a future meeting. It is important to be sure that the workgroup does actually return to the issue in the future. The Parking Lot is not intended to be a way to shut down opposing ideas during a discussion. Rather, it is a way to keep a meeting on task while ensuring that future meetings can return to these key issues.

[37] Yeres, & Collins, Module 5-8, p. 111-112, 2001.
[38] Collins, Yeres, & Smith, p. 164, 2001.
[39] Yeres, & Collins, p. 119, 2001.

Chapter 5
Workgroup Decision-Making Tools

5.1 Strategies for Making Group Decisions

Decision-making within workgroups may sometimes be clear-cut when there seems to be easy agreement among the team members about an issue or a decision. However, it is likely that in many instances, the complexity of planning and decision-making—coupled with the distinct cultures and needs of different agencies participating in the workgroup—will make it more challenging for the workgroup to reach agreement about a decision. It may be tempting simply to call for a vote and allow the majority to "win"; however, a voting-based strategy can risk alienating workgroup members who do not agree with the "winning" decision. If dissent is not addressed in the decision-making process, it is more likely that those who opposed a decision will not do the work that they are asked to do, or even worse, may attempt to derail the implementation of that decision. (This adversity is discussed at more length in Chapter 4 of this manual.)

This section provides a variety of alternative strategies to engage the team in the decision-making process. Two types of decision-making are addressed. The first consists of strategies to help the group make sense of large quantities of information, such as the long lists of ideas that might be the result of a Brainstorming exercise. Then, this section describes two exercises related to reaching decisions by consensus which could be used by a workgroup to make a "go" or "no go" decision about moving forward with a plan of action.

5.1.1 Multi-Voting

When a workgroup is faced with a large number of options or ideas, Multi-Voting is a process for reducing the number of ideas or identifying priorities for the workgroup while ensuring that all members participate in the process.[40] Multi-Voting is typically used after a Brainstorming exercise as a way to narrow down a list of ideas or to identify the most important ones that emerged from the Brainstorming exercise.[41] While the name "multi-voting" may bring to mind classic voting where the majority rules, the Multi-Voting technique actually uses a more iterative procedure to help a workgroup make sense of a large amount of information by distilling it down into a smaller subset of ideas that are most important to the workgroup.

Before beginning a Multi-Voting exercise, it is important to establish whether the workgroup is trying to prioritize the ideas generated by Brainstorming (that is, ranking the ideas without actually eliminating any of them) or whether the Multi-Voting process will serve to eliminate those receiving the lowest votes from further consideration. For example, if the Brainstorming exercise has generated a very long list of ideas, it may be necessary to eliminate some of them from additional discussion so that the workgroup can start the process of honing in on the most useful ones. On the other hand, the workgroup may have generated only a limited number of ideas during Brainstorming (which might happen if many workgroup members had similar ideas). In this case, ranking the ideas might be a useful goal for the workgroup. Either way, as the facilitator, you should be clear with the workgroup about which way Multi-Voting is going to be used.

In addition to setting clear expectations about what the Multi-Voting process aims to accomplish, you should work to ensure that the workgroup has agreed upon the voting criteria for this exercise. In other words, you want all workgroup members to understand the meaning of their vote.[42] In some cases, the voting criteria that you ask workgroup members to consider are, "ideas that are most feasible for your agency," or "ideas that are likely to have the greatest impact on youth with identified substance use needs," or "ideas that are most likely to help the

[40] Collins, Yeres, & Smith, p. 165, 2001.
[41] US Patent and Trademark Office, Office of Quality Management, p. 16, 2000.
[42] Collins, Yeres, & Smith, p. 165, 2001.

workgroup to reach its implementation goal." Different discussions will likely need different voting criteria, but you want everyone to understand the purpose of the Multi-Voting exercise before it begins.

Finally, you should set expectations about how many ideas will be retained after the voting. It could be half (e.g., the top half of ideas based on the votes) or, for very long lists, you may want to set a smaller percentage for retaining ideas. Alternatively, if the list is very long, you may want to repeat the Multi-Voting process (e.g., eliminate half the list in Round 1, and then eliminate half of this now shortened list in Round 2). There is no one "right answer" regarding the percentage of ideas that can be retained—the important point is to be transparent with the workgroup members about how many ideas are to be retained.

To summarize, there are at least three expectations that you need to state clearly before the actual Multi-Voting begins.

1. The goal of the Multi-Voting exercise (that is, ranking vs. eliminating a set number of ideas),
2. The voting criteria, and
3. If eliminating ideas, the percentage of ideas that will be retained

Once you have established these three expectations, you can then proceed with the following steps:

- Clearly number each idea in the list of brainstormed ideas. (This step will help workgroup members to understand the overall purpose and specific consequences of their votes. [43])
- Establish the number of votes that each workgroup member will receive. You might give each workgroup member a number of votes that is equivalent to about 50% of the ideas (e.g., if 16 ideas, then 8 votes). As the facilitator, you can choose to give a smaller percentage of votes (e.g., 33% of the ideas), but the key is that every workgroup member gets the same number of votes.
- Explain the workgroup members can decide how they want to use their votes: all votes for a single idea, multiple votes for stronger ideas while just one vote for weaker ideas, and so forth. Give workgroup members a few minutes to think about their decisions before asking them to actually cast their votes.
- Although you can use ballots, an easy method for allowing workgroup members to cast their votes is to use adhesive dots that they can place onto the brainstormed list (assuming that the list is posted so that all can see it, such as on a flipchart), with one dot representing one vote.
- Tally the votes for each idea.
- If the goal was to rank-order the ideas but not eliminate any of them, you should identify the rank-ordering based on the votes.
- If the goal was to eliminate a percentage of the ideas, use the vote tally to eliminate the ideas with the least votes (using the percentage established before voting began). [44]

Although Multi-Voting can help a workgroup process large quantities of information and identify priorities, it is important to note that the end of a Multi-Voting round may not necessarily mean that consensus has been reached about how to move forward. Because Multi-Voting is often paired with Brainstorming, the workgroup may need to further develop ideas or seek out additional information in order to translate ideas into concrete plans. As the facilitator, you may need to ask the workgroup about whether the results of the Multi-Voting represent an actionable plan or whether information from outside the workgroup is needed. If the workgroup perceives that the results represent an actionable plan, you should still be intentional about ensuring that consensus has been reached (see the following sections on "Consensus Testing" and "Consensus Decision-Making"). If more information is needed, just be sure that there is agreement about who on the workgroup will be responsible for obtaining needed information, the timeline for obtaining it, and the plan for disseminating that information to members of the workgroup (e.g., emailing it to workgroup members, presenting it at the next workgroup meeting).

[43] US Patent and Trademark Office, Office of Quality Management, p. 16, 2000.
[44] US Patent and Trademark Office, Office of Quality Management, p. 16, 2000.

5.1.2 Nominal Group Technique

As with Multi-Voting (described above), Nominal Group Technique is typically paired with Brainstorming and Round Robin methods for generating ideas, reporting them to the workgroup, and identifying key priorities. This technique can be particularly useful when workgroups are in an early stage of formation or when the workgroup needs to think creatively about solutions to a specific issue. Nominal Group Technique has features that are similar to Multi-Voting, but rather than casting votes, workgroup members are asked to rank ideas.

To engage the workgroup in Nominal Group Technique, follow these steps:

- Begin by engaging in a Brainstorming exercise in which a Round Robin is used to have ideas shared with the workgroup without additional discussion. In other words, go around the room and have each person share one idea so that no one person dominates the conversation.[45] Create a numbered list that features all ideas.
- Then begin a discussion of each idea that was generated, starting with the first idea and moving through the list of ideas in order. For each idea in the list, encourage workgroup members to seek clarification if they have questions and to discuss pros/cons of the idea. Record key elements of this discussion on the list so that all workgroup members can see the information generated by this discussion.[46]
- Establish the number of ranks that workgroup members will be assigning—if the list has more than 10 ideas, have workgroup members rank the top 10 ideas within that larger list. If the list is smaller than 10 ideas, simply have them rank each one.[47]
    - Give each workgroup member a number of index cards that equals the number of ranks they will be assigning (that is, 10 cards if they are ranking the top 10 ideas).
    - Explain to workgroup members that larger numbered ranks (e.g., "10") indicate that it is the most important idea while lower number ranks (e.g., "1") indicate it is a less important idea. They should only use each rank once. [48]
    - Explain that workgroup members should put each idea on a separate index card and then write their rank for that idea. For example, if a workgroup member was ranking the third idea on the brainstormed list and wanted it to be their most important on a top 10 ranked list, they would write: "Idea #1: Rank =10." [49]
- Ask workgroup members to rank the ideas from the brainstormed list onto the index cards and then to turn them into you or a person designated to tally the rankings.
- Use a table to records the rankings. Each idea from the brainstormed list should appear as a row. Record the rankings for each item. Invite workgroup members to discuss the results (e.g., pros/cons of the highest ranked items, additional thoughts about the lower ranked items).
- Using this condensed list (that is, only items that received at least one ranking), ask workgroup members to re-rank the items using the same index card technique, again where higher ranks are more favorable. You can ask them to rank ten or you can choose a smaller number.
    - Record and tally this final round of rankings
- Present the final rankings to the workgroup and ask for feedback from the workgroup.

[45] Collins, Yeres, & Smith, p. 161, 2001.
[46] NIATx, 2014, http://www.niatx.net/content/contentpage.aspx?NID=147.
[47] Nall & Davis, 2003. A link to nominal group technique handout is available at: http://srpln.msstate.edu/seal/03curriculum/setting/priorities/lesson.htm. This technique is adapted from Delbecq, Van de Ven, & Gustafson, 1975.
[48] IDEP Foundation, p. 9, 2006.
[49] Nall, M. A., & Davis, J. R. (2003). *The Skilled Group Leader: Setting Priorities*. A link to nominal group technique handout is at: http://srpln.msstate.edu/seal/03curriculum/setting/priorities/lesson.htm. Adapted from Delbecq, A. L., Van de Ven, A. H., & Gustafson, D. H. (1975). Group Techniques for Program Planning: A Guide to Nominal Group and Delphi Processes. Glenview, IL: Scott, Foresman, & Company.

As was noted in the section on Multi-Voting, you will need to work with the workgroup to determine next steps after using the Nominal Group Technique. It may seem that an idea has emerged as the clear winner, but you should still use a technique to measure consensus rather than assuming that all workgroup members are on board with an idea (see “Consensus Testing” and “Consensus Decision-Making”). It is also possible that more information is needed before the group can truly reach a decision and put it into action. If that is the case, be sure to conclude the Nominal Group Technique exercise by identifying what information is needed, delegating the information- gathering to specific people, agreeing upon a deadline for obtaining the information, and ensuring that the information is disseminated to the workgroup (e.g., at next meeting, via email).

5.1.3 Consensus Testing (The Fist of Five)

When you want to take the temperature of the workgroup quickly regarding a decision, Consensus Testing (also known as “The Fist of Five”) is a strategy that can efficiently help you to understand the degree to which workgroup members agree with that decision. And when there is not agreement, this technique can start a discussion about how to move forward.[50] This method consists of two parts: (1) Asking workgroup members to demonstrate their support (or lack thereof) for a specific decision by holding up numbers of fingers, and (2) discussing the concerns of those who are not supportive of the decision.

To use Consensus Testing, you will engage in the following steps: [51]

- Clearly state the specific decision about which the workgroup is being asked to vote, and tell them that you are asking them to demonstrate their support using their fingers.
- Remind workgroup members what the different configurations of fingers mean. The configurations are as follows:
  - 0: (closed fist) I cannot support this decision and I will fight to prevent it
  - 1: I have serious reservations about this decision
  - 2: I have a few reservations about this decision that I need resolved
  - 3: This decision is acceptable and I can support it
  - 4: This decision is very good, and I am ready to act to support it
  - 5: This decision is absolutely great and I am completely convinced.
- Ask workgroup members to show their support using their fingers.
- Respond to the results:
  - If all workgroup members show four or five fingers, state that the workgroup has achieved consensus, so the workgroup should start planning next steps to put that decision into action. This ends the Consensus Testing exercise.
  - If votes are mixed, initiate a discussion about how workgroup members’ concerns can be addressed.
    - For members who show 0 or just 1 finger, consider asking, “What would need to change for you to get on board with this decision?” The goal of this type of discussion is to explore what their concerns are, and to consider if there is any possibility that they can come to support the decision.
    - For members who show 2-3 fingers, you might ask, “What are your concerns? What would it take to get you to a 4 or 5?” in this situation, you want to explore specific changes to the decision that would increase support for it, while not alienating those who supported the original decision. If amendments to the decision emerge, it is important to discern whether the entire workgroup can support the amended decision (That is, conduct a second round of Consensus Testing).
  - If all members show two or fewer fingers, it likely indicates that the workgroup needs to

[50] The National Institute of Corrections Academy, p. 21, 2006.
[51] The National Institute of Corrections Academy, p. 21, 2006.

begin to consider a new plan for moving forward. This may be a time when it is helpful to have a Brainstorming session.

Sometimes it may *seem* like consensus has occurred naturally during the course of a discussion. Even in this case, Consensus Testing can still be used to make that consensus explicit to the workgroup. If you call for workgroup members to use The Fist of Five, and all the members show four or five fingers, then you have made the consensus absolutely clear to the team without investing much time in the process. In this situation, the workgroup has enough agreement to move forward with that decision. If you skip this step of formally measuring consensus (either through Fist of Five or Consensus Decision-Making, described below) and assume that everyone agrees with a decision, you may discover later that some workgroup members had specific concerns that lead them to undermine or not fully implement a decision.

5.1.4 Consensus Decision-Making

Some decisions truly require that all workgroup members have reached agreement with that decision. Rather than decision- making based on a vote, Consensus Decision-Making seeks to ensure that all members are willing to support a given decision. It may be particularly useful when a compromise is required. The process for reaching consensus is as follows.[52]

- Clearly state what the decision is, being as specific as possible. You want the workgroup to understand what they are being asked to support
- Explicitly state to the workgroup that there needs to be consensus within the workgroup before it can move forward.
- Preview for the workgroup members that you are going to ask whether they agree with three questions, which are:
  - Can you live with this decision?
  - Are you willing to support this decision within our workgroup?
  - Are you willing to support this decision outside our workgroup?
- Ask the three questions featured above.
- Respond to the results:
  - If some workgroup members answer “no” to one or more of the questions, then you should facilitate additional discussion by eliciting their perspectives. Probe for more information by asking questions like, “What would have to change in order for you to support this decision?”
    - Once those changes or amendments are stated, you should conduct a second round of Consensus Decision-Making. Put forth to the whole workgroup the revised or amended decision and repeat the process (described above) to ensure that there is consensus regarding the altered decision. You will need to explore the concerns of workgroup members until everyone can agree to the three questions.
  - If all workgroup members answer “yes” to these three questions in the first round, then consensus has been reached. Simply state to the workgroup that the group has reached consensus about the decision and can now plan for next steps.

If the decision is such that all workgroup members must be in agreement, this process should continue until all the workgroup members can agree to the three questions. That is the indicator that consensus has truly been reached.

[52] Collins, Yeres, & Smith, p. 162, 2001.

Chapter 6
Planning for Sustainment

This manual has been designed to serve as a guide to your facilitation efforts with JCOIN workgroups. We hope that you have benefited from the instruction provided herein. We recognize that no single manual can provide direction for each and every circumstance you are likely to encounter as a facilitator. However, we are confident that the guidance offered here, grounded as it is in evidence-based practice, will help you address a wide variety of situations that you and your workgroups may confront. This manual has been complemented by JCOIN facilitator training and other documents that we hope will also serve you well in this endeavor.

JCOIN protocols were designed so that the preparations for your facilitation process would be assisted by a combination of trainings and manuals made available through support from your research team. You have been given this manual ahead of time to prepare you for any workgroup activities. This manual and other items that have been developed are tools that we hope guide you along the workgroup activities. For this reason, you have been encouraged to revisit such resources periodically during project rollouts and ongoing activities with your workgroups.

This section will include some strategies we recommend to cultivate the workgroup's reflection as they develop their linkage plan with community specific goals and launch them successfully toward implementation and ultimately sustainment.

6.1 Sustaining Momentum

As noted in previous chapters, much of what you do as a facilitator and many of your workgroup activities should be focused on building skills and producing changes that can outlive the implementation of the JCOIN project activities and local community workgroup activities. It should be noted that it is never too early to begin thinking about sustainment. Sustainment entails actions that are taken to ensure the prolonged use of practices that have proven effective during the implementation phase. These practices include (a) continued use of facilitation skills learned by the Workgroup Liaison and other workgroup members, (b) continued collaboration between partnering parole-health organizations, such as hosting workgroup meetings beyond those of which were conducted by the research facilitator, and (c) continued re-evaluation and improvement in services linkages by using JCOIN activities such as the needs assessment exercise. As a facilitator, you should encourage members of your workgroup to evaluate and continue to use project tools and skills with consideration of sustainment efforts. The short-term aim of project activities is initial improvement in linkage planning, while the long-term aim is improved organizational functioning. Facilitators and Workgroup Liaisons should select and use tools and skills with sustainment in mind.

Sustainment should be a central agenda item during JCOIN facilitated workgroup activities. As indicated, sustainment is a consideration that should be brought to the workgroup throughout your time with them. Both the Facilitator and the Workgroup Liaison should keep sustainment in mind. The facilitator can use skills in this guide such as mapping and SMART goals to prioritize which agency practices could be implemented and sustained overtime. Likewise, the workgroup liaison could use facilitation skills (such as multi-voting) to consider threats to the sustainment of highly prioritized procedures and practices that were instituted through previous workgroup efforts. Another example of tool use with sustainment in mind, might be for the Workgroup Liaison to use consensus building techniques to help workgroup members select another goal to pursue when organizational priorities change.

6.2 Leadership Transition from Facilitator to Workgroup Liaison

During the 12-month implementation phase of this project, the workgroup will be encouraged to host regular meetings, with the workgroup liaison as leader. Your presence at these meetings is at the discretion/invitation of the workgroup. Your facilitator role during the implementation phase is to serve as Coach to the Workgroup Liaison. During the one-on-one coaching sessions you'll work with the liaison to strategize how to go about implementing and rolling out the workgroup selected practices, and to troubleshoot next steps while addressing interpersonal conflicts and challenges. Coaching should also serve as an opportunity to transfer the facilitation role to the Workgroup Liaison. It's imperative that you help the workgroup liaison select which skills and tools to use and when. This should not be seen as a 'baton-pass' where your role ends and their role begins, but rather an opportunity to mentor the liaison and build their facilitation skills. By developing an internal leader or change agent, you're helping the community workgroup to have an internal facilitator who can sustain the good momentum of skills and tool use that you, as facilitator, helped create during the earlier workgroup activities.

While the linkage planning activity, may be the last opportunity for you to meet as facilitator with the full workgroup, we strongly advise you not to refer to this final JCOIN meeting as a "close-out meeting". Ideally the workgroup should continue meeting after your departure under the local leadership of the workgroup liaison. Designating the final time that you meet with the workgroup as a "close-out meeting" could inadvertently hamper the group's long-term viability. "Close-out" could be interpreted to signify the end of the workgroup's work together, and that is not at all what JCOIN envisions after linkage planning.

6.3 Sustainment Phase: Visualizing Workgroup Accomplishments

Toward the end of the project (sometime during the Sustainment phase), we strongly recommend setting aside some time for group reflection on the most important accomplishments that were achieved during JCOIN workgroup activities. Give the group a chance to brag on itself. Doing so will give the workgroup an opportunity to revisit the high points of its journey. This activity can have instrumental benefits by reinforcing skills and underscoring key lessons learned. It can also have expressive benefits that may include the cultivation of pride related to key achievements. It is certainly acceptable if some workgroup members wish to express their appreciation for the contributions of individual colleagues. But aiming to keep the focus on the collective achievements of the group will highlight the team element that is often so vital for success.

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