

ABSTRACT

The discipline of victims' rights and services has benefited from strong leadership over the past thirty years—from victims who have experienced tremendous personal tragedy; from service providers who have effected significant changes in laws and policies to benefit victims; and from local, state, and federal government officials who have made victims' rights and services a priority. This chapter offers a broad overview of styles, qualities, and processes, and provides concrete examples of leaders in America who have overcome considerable obstacles to make a difference in the world.

LEARNING OBJECTIVES

Upon completion of this chapter, students will understand the following concepts:

- C The origin of leadership qualities and common myths about leadership.
- C How one's past experiences contribute to the ongoing and dynamic process of becoming a leader.
- C Core leadership strategies for victim assistance and justice organizations.

INTRODUCTION

The study of leadership is recent. Only in the last fifteen years have organizational theorists closely examined qualities of leadership as distinct from qualities of management. Yet throughout history individuals whose actions and accomplishments have inspired people to live honorably, to persevere in personal quests, and to treat others with dignity and respect have been revered. In 1978, James MacGregor Burns, one of the first major theorists on leadership, wrote: "Leadership is leaders inducing followers to act for certain goals that represent the *values* and the motivations—the wants and needs, the aspirations and expectations—of both leaders and followers. And the genius of leadership lies in the *manner* in which leaders see and act on their own and their *followers' values* and motivations." (Phillips, citing Burns, 1992, 3) The role of the modern leader has evolved into a process that involves clearly-defined tangible skills and attributes.

The requirements for effective leadership in victim services are developing as rapidly as the discipline itself. In addition to providing leadership in a variety of direct victim assistance programs, victim advocates are heading teams in Attorneys General's offices, police departments, prosecutors' offices, and departments of probation and parole. Victim advocates convey their passion and dedication to helping victims to these colleagues—some of whom may

have little understanding of the cause, may be apathetic towards the mission, or may be nonbelievers.

The challenges to a new leader are great. A leader entering into an established workplace environment may have to adapt considerably while building the necessary trust to lead co-workers. On the other hand, a leader joining a "work-in-progress" can influence the development of programs and the quality of working relationships. The leader may have attained the leadership role through promotion, in effect, taking the wheel and learning to drive the machine that s/he has already fueled with his/her labor. For those who aspire to become leaders, much can be done to prepare.

While this chapter cites examples of leadership in victim services, it primarily examines leadership from "the outside," i.e., leadership in its broadest sense. What are some classic leadership styles? What is the difference between leadership and management? Are leaders born or do they have the necessary qualities within them just waiting to be developed? What are the basic skills and strategies that individuals can develop to improve leadership abilities?

Most of the examples come from the corporate world, the organizational model which has been the focus of most leadership research and where the greatest amount of change has taken place. Much of leadership styles in business directly applies to leadership styles in victim services. And although the focus of turning a profit is not central to victim services, having adequate funds to effectively run and expand the organization is as central to victim services as it is to the private sector.

The ideas of modern theorists on leadership roles and the writings of inspiring leaders like Abraham Lincoln and John F. Kennedy are cited. The stories of people currently in leadership roles are told, and what guides them, empowers them, and sustains them is discussed. Courage, self-awareness, a clear mission, the ability to relate and communicate with co-workers, conviction, "grace under fire," and passion for their job all are qualities that effective leaders cultivate.

Victim advocates come to their jobs with the passion and conviction necessary to light a fire in any organization. This manual provides the tools and strategies that can channel passion, develop skills, and help find the leader *within* whom others will wish to follow.

LEADERSHIP AND MANAGEMENT

This manual focuses upon leadership and the ways that leaders develop their own capacity for leadership from within; it does *not* focus upon day-to-day management of organizations and resources. Effective management is, of course, critical to the successful functioning of any entity; however, the focus here is upon how true leadership is the hub of the wheel around which all other operational tasks depend.

During the last five years, studies on leadership increasingly moved away from the more management-oriented models that had been followed in many public and private sector

organizations because these models failed to supply the answers to what made leaders effective. As Robert Danzig writes in *The Leader Within You*:

. . . many of us have had the feeling of leaving the table a little bit hungry; the "management meal" we've been served has not quite hits the spot with its limited menu of retrenchment and competitive down-sizing. It is so palpable that people are hungering to see the ingredients of leadership join us at the table. (2000, xxv)

Because of the challenges faced as the millennium approached, many observers noted that there has been an extraordinary focus upon the science of management, e.g., the task-specific and goal-oriented actions taken by organizations to achieve their objectives in an increasingly complex and competitive world. What is missing from this picture is the larger and overarching role that *leadership* plays. An organization may have a poor geographical location, or it may not be utilizing its resources most effectively. These are pieces of a larger whole that can be fixed. However, without the vision of true and effective leadership, an organization is most assuredly doomed to function at a lower level than it could or perhaps even to fail.

This is not to minimize the importance of management; indeed, effective management is integral and crucial to the daily operation of all organizations. Again, the distinction is between the roles of managers and leaders:

Management is an essential fundamental requirement of the operation of all civil society, including business, health care, arts, and educational institutions. We cannot deliver 10 million Hearst newspapers to readers each week without a carefully calibrated and managed process. Management is of the utmost importance. However, when separating the two like strands of a rope wound tightly together, the discreet elements suggest that management is about today and leadership is about tomorrow. Management is a series of learned attributes; leadership relied on inherent capabilities. Management is about process; leadership illuminates vision and promise. Put another way, all leaders are also managers of others. *But not all managers exercise the qualities of leadership* (Danzig 2000, xxvi, emphasis added).

As research for their book, *Leaders: Strategies for Taking Charge*, two respected authors on leadership, Warren Bennis and Burt Nanus, conducted interviews with ninety prominent leaders—sixty were successful chief executive officers, and thirty were outstanding leaders from the public sector. These extensive interviews were designed to capture what it was that propelled these individuals to their positions of leadership, and how they construed their own roles as leaders. The interviews were conducted like exploratory dialogues in which the subjects of the interviews joined the authors in investigating the true nature of leaders and leadership. Among other things, the authors concluded from these interviews that these very effective leaders viewed management and leadership as profoundly different:

They viewed themselves as leaders, not managers. This is to say that they concerned themselves with their organizations' basic purposes and general direction. Their perspective was "vision-oriented." They did not spend their time on the "how tos," the proverbial "nuts and bolts," but rather with the paradigms of actions, with "doing the right thing." (1997, 20)

So the question is how does one access one's own qualities of leadership? If the word "genius" is replaced with "leadership," dance pioneer Martha Graham's familiar saying is appropriate: "Everyone is born with genius, but most people lose it after fifteen minutes." (Danzig 2000, xxvi). The key, according to many leading leadership theorists today, is *knowing oneself*. It is in getting to know oneself, one's strengths, one's weakness, that the individual unlocks his/her potential for true leadership of others. As Danzig puts it, "the ability to know oneself so well you send out an inspirational beam just like a lighthouse." (Ibid.) Bennis and Nanus make a keen distinction in saying that leaders "manage themselves" and in so doing, are able to access their ability to lead others (1997, 18).

ORIGIN OF LEADERSHIP QUALITIES

ARE PEOPLE BORN LEADERS?

How often has it been said that someone is a "born leader"? Typically, it has been assumed that if leadership "talents" did not attract the attention of family, teachers, and peers during the adolescent phase of life, then the individual is simply an "average" person who has to work hard to do well. It is taken for granted that those individuals who had leadership roles and made a splash with whatever they did would succeed throughout their lives. Many remarkable leaders appear to have been born with amazing talent, yet others overcame enormous difficulties before they took on leadership positions. An in-depth look at the lives of some of the greatest leaders reveals evolution of character and self-awareness, development of skills, and assimilation of knowledge gained from challenging experiences—both successes and failures—that combined to form their personalities.

Was Abraham Lincoln a born leader or an incredible self-starter? Lincoln taught himself to read by the firelight at night. His mother died when he was nine, and while he did form a close, loving relationship with his stepmother, his father was an abusive and hostile personality who offered no support or guidance. Although by nature Lincoln was a self-taught person, it was in law school that he acquired the writing skills to express himself and his beliefs to others. During his political career, he learned to persuade, direct, and motivate. The renowned wit and ability to tell stories that he developed later helped him become an effective communicator with his constituents. His qualities of honesty, integrity, empathy for the common man, and devotion to the rights of individuals appear to have evolved out of his childhood experiences (Phillips 1992, 4-6). Lincoln may have been born with a remarkable talent for leadership, but he worked diligently throughout his life to acquire and refine the skills that helped him to lead during a period of intense national crisis.

There is an ongoing and lively discussion among leadership theorists that decries the concept of "born leader." Heifetz (1994, 20) claims that "it fosters self-delusion and irresponsibility." McCall of the University of California's Marshall School of Business also challenges the belief that extraordinary people accomplish exceptional things solely due to innate talent. Borrowing Tom Wolfe's term the "right stuff"—used to describe the talent of successful fighter pilots (Wolfe 1974)—McCall takes issue with the assumption of "innate talent" commonly used in leadership selection and development programs in the corporate world. Typically, organizations spot the obvious stars early and give them added responsibility and attention,

while overlooking those individuals whose skills are less evident even though they may have greater long-term leadership potential. McCall believes that "executive leaders are both born and made, but mostly made . . . executives do learn, grow, and change over time." (McCall 1998, 4)

In discussing the "heroic nature of accomplishment," McCall cites the qualities of resourcefulness, risk-taking, courage, readiness to take action, flexibility, perseverance, creativity, and ability to inspire others. He points out that initially these competencies can only be *inferred* and are *contingent* on continued achievement. The "right stuff" can be determined only after remarkable performances have been achieved. In fact, "the right stuff is whatever it needs to be to explain a result." (Ibid., 7)

McCall believes that the use of the "right stuff" concept in leadership selection has several unintended consequences when leaders both succeed and fail. With each new success, a leader chosen for having the "right stuff" may feel more powerful; each victory adding to the "siren song of invincibility." (Ibid., 8) The author cites numerous examples of executives who performed leadership roles in major companies with extraordinary success, but whose mythic arrogance and attitude of invulnerability contributed to their eventual downfall.

Such high achievers define themselves as "special," leading in some cases to an attitude that other people are unnecessary. They ignore advice and cease to value the input of their colleagues. When inevitably they fail (because errors are unavoidable), the problem lies not in the error, but in the initial assumption of their innate talent. A failure is treated as a *proof of inadequacy* or *absence of talent rather than an opportunity for learning*. "Fear of being found out causes them to attempt to hide their stumbles, not to take the risk of stumbling, or to blame their errors on something or someone else, all of which eliminates learning." (Ibid., 9)

What bearing does the "right stuff" assumption have on the individual's efforts to become a leader? If s/he is one of the chosen few with extraordinary innate talent, s/he is may already be moving down the road to success, encountering the joys and pitfalls that power engenders. S/he may have inherently understood McCall's message: Don't rest on your laurels . . . An individual may be a born leader, but if s/he is going to successfully meet the new challenges a changing world presents, s/he clearly has to work hard to develop and refine his/her skills.

On the other hand, an individual may have innate talent that has gone unnoticed. His/her progress may have been derailed by unfortunate circumstances. S/he may simply desire greater challenges in the workplace, and the possibility of moving forward requires the assumption of leadership responsibilities. How does the individual rise to the occasion? Being pro-active and taking charge of his/her development provides competence and confidence so that when the opportunity for leadership presents itself, s/he will be able to assume it wholeheartedly. Wherever someone is on the leadership continuum, much can be done to help oneself to adapt to new situations, be resilient, learn new skills, find the courage to take risks, and stay true to oneself and one's values.

DISPELLING COMMON MYTHS OF LEADERSHIP

In their book, Bennis and Nanus (1997) discuss several common myths about leadership that have taken root in society and are, in fact, counterproductive and discouraging to potential leaders. These myths are:

Myth 1: *Leadership is a rare skill.* Everyone possesses qualities of leadership and leadership opportunities abound; they do not exist just at the tops of organizations. People excel at leadership in the areas that are closest to their truest aspirations and dreams. A clerk at the local supermarket may be the leader of a community mediation group. A taxi driver may be the director of a local theater company. The truth of this myth is that leadership opportunities are everywhere and within the grasp of most people.

Myth 2: *Leaders are born, not made.* This myth has already been discussed, but it is worth repeating in view of the attention that has been focused upon this question in leadership studies and theory. There are many qualities that may be inherent that can assist in one's process of becoming a leader. But most of what goes into being a true leader is learned along the way. Books and mentors are crucial to the learning process, but the process itself can be compared to learning to become a good spouse or parent—the most important lessons are learned in the experience of being exactly that.

Myth 3: *Leaders are charismatic.* While it is true that there have been truly charismatic leaders who had unique powers to influence and communicate in an almost spellbinding way, e.g., Churchill or Kennedy, there are many more leaders who are quite ordinary in their everyday leadership roles. It can be argued that charisma is a result of effective leadership; not the other way around. For those relatively few leaders who possess an abundance of natural charisma, it simply enhances their connection to and ability to influence others around them.

Myth 4: *Leadership exists only at the top of an organization.* While leaders at the top of an organization may get more public attention, this does not diminish the truly heroic "ordinary" leaders at other levels. In fact, the larger the organization, the more leadership roles it is likely to have. Increasingly, organizations are moving toward team building and "intrapreneurship"—the creation of smaller autonomous units within a larger organization. Opportunities for leadership abound on a daily basis on all levels of an organization, for example, assisting a co-worker with a problem that threatens to mushroom into a larger one. Leadership is not confined to those who are the defined "managers" and "leaders."

Myth 5: *The leader controls, directs, prods, manipulates.* This myth is potentially the most damaging of all. As stated by Bennis and Nanus, "Leadership is not so much the exercise of power, but the empowerment of others." (p. 209). Traditional models of leadership, based on the older autocratic management theories of leadership, have proven to be ineffective and destructive. True leaders lead through inspiration rather than through orders, through empowerment of others to achieve their true potential rather than by manipulating and scaring

them into compliance with the leader's view of how things should be done. A quote from Carlo Maria Giulini, former conductor of the Los Angeles Philharmonic is fitting: "what matters most is human contact, that the great mystery of music making is that it requires real friendship among those who work together." (Ibid.) The friendship described is not about the leader being "buddies" with those s/he leads and works with, but rather about understanding others' perspectives and utilizing his/her own talents to allow others' true potential and abilities to unfold.

Myth 6: The leader's sole job is to increase shareholder value. Whether discussing corporations or service organizations, the bottom line of financial responsibility is always there. While victim service providers may not be concerned with turning a profit, leaders in victim services must be concerned with acquiring and maintaining adequate funding to do their jobs. This need can compete with the energy a leader needs for visionary planning and maximizing the potential of the organization. While the leader must keep the necessities and requirements of effective management at the top of his/her priorities, it should be done in such a way that it does not become the overriding concern of the organization and its constituency. Again, good management is a requirement, not a goal in and of itself.

LEADERSHIP IS A WORK IN PROGRESS

Like McCall, many of the new thinkers on leadership look at the life experiences of respected leaders for clues about the origins of their abilities: home, education, relatives, friends, work, peers, environments, and any special hardships or disabilities. Reflecting upon his career, recently retired newspaper publisher Robert Danzig looked back upon childhood, school, college, and early work experience for the source of knowledge and skills that shaped both his workplace relationships and his performance as a leader (Danzig 2000, *xix*). "All are stepping stones to help us cross the water ways of life," he writes. [A]ll of us have leadership powers [within us] which allow us to lead our lives in a more effective and satisfying way . . . Once identified and activated, these freshly honed characteristics within our individual acorn can result in our becoming leaders, and will dramatically change the kind of people we are." (Ibid., *xx*)

Character and abilities—including talent for leadership—reflect one's life-long experiences. For better or worse, qualities ingrained in one's personality may result from the influence of family, mentors, and employers. Positive qualities should be nurtured and cultivated; negative qualities should be identified and objectively reckoned with so that they are no longer harmful. Leadership requires *courage*.

COURAGE

The stories of past courage . . . can teach, they can offer hope, they can provide inspiration. But they cannot supply courage itself. For this each man [or woman] must look into his [her] soul."

— John F. Kennedy in *Profiles in Courage*

If there is one human quality essential for leadership, it is courage—not just the courage to face adversity, but the courage to look inside and face up to weaknesses. Without delving into theories of succession planning (the systematic assessment process that an organization develops to identify key jobs to be filled and the best qualified candidates), it is useful to note that many of the people responsible for the development of new leaders within their organizations cite the qualities of courage and risk-taking as being the inevitable missing ingredients in new candidates.

One national association director, who has served in leadership roles throughout his criminal justice career, reports that "it has been hard to identify people who will stick their necks out and take the leadership opportunity offered to them. Leaders must have courage and I don't believe that you can teach it. . . . The real challenge is to face the shortcomings that one has as an individual and overcome them— at least in the leadership role—to be a better leader. The challenge is to speak when you don't know how, to take risks, and to face the losses and the mistakes that you inevitably make." (Wicklund 8 January 2001)

TAKING RISKS, EXPOSURE TO CRITICISM, AND THE POSSIBILITY OF FAILURE

Out of fear or self-doubt, people often make choices that work against their own growth. Listed below are five common reasons why a talented individual does not assume new challenges and move forward in the job (Danzig 2000, *xiv*). This individual—

- C Continues to use existing strengths to achieve quick, dramatic results rather than learning new skills that take longer to develop and may produce poor results in the short term.
- C Is more inclined to dwell on compliments (i.e., s/he is really good at his/her job) than to examine weaknesses.
- C Rarely seeks out negative information about him/herself from colleagues and superiors, especially if the organization offers little opportunity for formal evaluation.
- C Likes being rewarded for achievements and steers away from development projects that are amorphous and do not offer "concrete business results."
- C Feels a risk in leaving what s/he does well to attempt to master something new.

These are normal human responses to challenging situations. Avoiding extra work and responsibility when one is busy, and not wanting to be exposed to new risks that increase the possibility of failure, are reasonable positions. When seeking to develop leadership skills and acquire greater responsibility in the organization, it is helpful for the individual to understand what s/he shies away from, and determine and assess his/her patterns of behavior. One of the first steps in developing a leadership "mind" is increasing *self-awareness*.

SELF-AWARENESS

We are not our feelings. We are not our moods. We are not even our thoughts. The fact that we can think about these things separates us from them . . . Self-awareness enables us to

stand apart and examine even the way we "see" ourselves—our self paradigm, the most fundamental paradigm of effectiveness.

—Stephen Covey, *The 7 Habits of Highly Effective People*

Covey takes the position that until we understand how we see others and ourselves through our own personal set of filters, we are unable to understand others—how they see and feel about themselves and their world. As a result, when we attempt to view them objectively, we are really just projecting our intentions and our point of view on to their behavior. Conversely, they do the same to us. Both our personal potential and our ability to relate to others are limited. We can, however, examine our paradigms to determine when they are reality-based and when they are a function of conditioning (Covey 1989, 67).

The "social mirror" is Covey's term for the vision that we have of ourselves as reflected by the opinions, perceptions, and conditioning of others. He stresses that the reflection we see of ourselves is just as unreliable as our view of others because it is likely a projection of their concerns and character weaknesses. We should first acknowledge the existence of "conditioning" and then try to see to what extent we are influenced (and limited) by it in our own world view and choices (Ibid.).

Covey cites such limiting factors as genetic or inherited influences, psychic influences such as parents and childhood experiences, and environmental influences that can be everything from a difficult boss to the national economic situation. He makes the important point that through greater self-awareness we can free ourselves of limiting influences. If we seek self-knowledge and understanding of our conditioning, we can be free to choose our responses. "With our imagination we can create our minds beyond our present reality. . . . With our conscience and deep awareness of right and wrong, of the principles that govern our behavior . . . we can determine the degree to which our thoughts and actions are in harmony with them." With independent will we have the "ability to act based on our self-awareness, free of other influences." (Ibid., 70)

Why is self-knowledge important? Until the individual knows who s/he really is and his/her motivations, s/he will be unable to relate openly with co-workers. As a result, they will be unable to trust and follow the individual. People trust what is real. The second challenge is to know one's weaknesses and effectively address them.

USING LESSONS OF PAST EXPERIENCE TO INFORM AND INVIGORATE LEADERSHIP: FAMILY, MENTORS, AND CAREER

There is a wondrous value in pausing to contemplate that which has crossed our paths.

— Thomas Merton

Psychologists and management educators Mackoff and Wenet conducted a series of interviews with sixty-five leaders representing a wide range of organizations—government agencies, Fortune 500 companies, professional sports teams, victim service providers, Native American nations, and inner-city schools—to gauge how their life experiences informed their approach to leadership. They found that leaders participating in the study all had reflected deeply on their pasts as part of their quest for self-knowledge. They translated the meaning of important events and relationships in their lives into consistent thought patterns to direct the way they

thought about and reacted to complex and challenging situations. The patterns can be divided into five mental disciplines that have proved central to their successful careers. They developed:

- C The capacity to examine and appraise their own behavior and impact on others.
- C The strategy of interpreting negative events with a resilient inner narrative and response.
- C The practice of setting aside assumptions, reversing roles, and learning from every person in the organization.
- C The ability to trust, value, and speak from their own experience.
- C The craft of counterpoint, that is, restoring perspective and renewing resources (Mackoff and Wenet 2001, 1-2).

Many effective leaders draw on past experiences—in families, education, work, and key events in their lives—to develop the mental disciplines that are the basis of their inner authority. In the Mackoff-Wenet study, many participating leaders described the influences of their family and family-related experiences that formed and reinforced their core values.

Conviction. Ruth Simmons, president of Smith College, is the first African-American woman to head a major college (Ibid.). The daughter of a Texas sharecropper and the youngest of a family of twelve, she credits her family for instilling in her values that she draws upon in her leadership role. From her mother, a domestic worker who took great pride in cleaning well, she learned how to stay focused and committed to her work. "I developed my own conviction about always doing work with great care and seeing every job through." (Ibid., 1)

Enduring core values. Simmons tells how her mother gathered the twelve siblings around the kitchen table and taught them about their forebears—how they evolved as people and their contribution to the community. "There was always a moral attached to the story, offering insight into human frailty and what can happen when people lose sight of their values. . . . My mother built structure in these lessons about life, and I learned some basic values in dealing with human beings. I spend a lot of time thinking about whether I live up to these models." (Ibid., 187-188)

Consistency and loyalty. His father's chronic emphysema forced Chief Executive Officer and President of CIT Financial Group Al Gamper to drop out of college in his sophomore year to support his family (Ibid., 18). He combined a day job at Manufacturer's Hanover Trust with night school for four years so that he could take care of the needs of his parents and brother and complete his education. The impact on his family of his father's inability to work, and the lack of a safety net in company benefits, instilled in Gamper a powerful commitment to give job security to his employees and to build an organization that provides good benefits. He has done so, and whenever the company went through hard times and it was suggested that employee benefits might be reduced, he adamantly refused and found other ways to cut costs. He also formed and funded the CIT Foundation to help employees in trouble. Providing an

umbrella for the special needs of employees, the Foundation has "sent terminally ill children to camp, helped divorced mothers pay their mortgages, and covered the costs of funerals." (Ibid.)

Understanding community and relationships. The value of community and contributing to its well-being were driving forces in Japanese-American Beckie Masaki's family throughout her childhood. The Executive Director of the Asian Women's Shelter in San Francisco remembers that the entire Japanese neighborhood, from the very young to the very old, hung out in her family's Sacramento fish market. Her parents put a high value on investing in community relationships and in not allowing small things that were negative to destroy the social fabric. Her commitment to helping Asian women deal with domestic violence is motivated by a belief that whether or not we experience violence in our own lives, we must become part of the solution for those who do. "It may not be happening to me as an individual but because it is part of the community that I belong to, it is as if it is happening to me." (Ibid., 23)

Inner authority and critical thinking. Knowledge of her parents' internment during the Second World War provided Masaki with another important insight that informs her role as a leader in providing services to victims of domestic violence. Her parent's internment, which she learned of in high school, did not fit in with "what she knew about them as good citizens and good people... It was the beginning of my thinking critically about injustice in our society. So much of our schooling is based on mainstream culture. It doesn't relate to my experiences as a person of color. It was the roots of my seeing that I needed to have bicultural lenses—to learn not to swallow things whole." (Ibid., 71)

As a result, when Masaki was working at a large domestic violence shelter in San Francisco and inquired about the absence of Asian women, she was told that domestic violence was not a problem in the Asian community. At the time, she had no statistics to refute the statement, but her intuition and her direct experience told her that it was incorrect and motivated her to start the country's first shelter for Asian women (Ibid.). One of Masaki's fundamental principles of leadership is that "[w]e don't allow the status quo or conventional pressure to create our organization... We must question the truth of the conventional perspective to create a truly good fit for our organization." (Ibid., 72)

REMEMBERING MENTORS AND ROLE MODELS

Sometimes it is the people whom one meets on life's journey who have an enormous impact on character, self-confidence, and life choices. These people see the individual in a different light and perhaps recognize a potential or a longing that may have otherwise gone unnoticed.

Hearst newspaper publisher Robert Danzig lost his parents from divorce and disease at an early age and thus grew up in five different foster homes. He spent his early years "surviving, getting through life and learning how to adjust to constantly changing conditions." However, from his first job at seventeen as an office clerk on a newspaper, he encountered several mentors who guided, inspired, and taught him values that have served him throughout his career. He learned the importance of treating clients well and taking risks from his first boss at the *Albany Times*; maintaining high standards from the chairman of the Saratoga Performing

Arts Center; and the power of innovation from the head of Gannett Corporation. "Each of us have been inspired by leaders who have motivated us to move with enthusiasm on the pathways we have chosen to pursue . . . They touch our spirit with the richness of their message and help us absorb the shocks on the roads ahead. They appreciate the individual and acknowledge that each possesses worth and counts." (Danzig 2000, 45)

A great tribute to leadership role models is *Profiles in Courage*, John F. Kennedy's Pulitzer Prize-winning account of eight courageous U.S. Senators who, at times of national crisis, took unpopular positions against their own constituencies and political parties for the greater good. Kennedy wrote the book during his term as U.S. Senator after experiencing the dilemmas members of Congress face trying to act morally and represent voters when it is often necessary to compromise. While the situations he discusses are limited to the political arena, the themes of moral courage and "grace under fire" are relevant in all leadership roles: Leaders continually compromise.

Kennedy stressed three major points in discussing the Senators:

- C "We prefer praise to abuse and popularity to contempt. The path of the conscientious insurgent is a lonely one."
- C The desire to be re-elected is normal. "It should not automatically be assumed that this is a wholly selfish motive."
- C "The third and most significant source of pressures which discourages political courage in the conscientious . . . is the pressure of the constituency, the interest groups, the organized letter writers, the economic blocs, and even the average voter. To cope with such pressures, to defy them or even to satisfy them is a formidable task." (Kennedy 2000, 4-9)

A leader may be challenged on a daily basis to reconcile the desires to be liked, keep the job, and make everyone happy with finding a way to solve problems courageously and correctly. In his concluding thoughts Kennedy writes, "A man [or woman] does what he must—in spite of personal consequences, in spite of obstacles and dangers and pressures— and that is the basis of all human morality." (Ibid., 225)

CORE LEADERSHIP STRATEGIES

Once the individual has taken a look at him/herself and his/her motivations and has reflected on his/her life and the influences that have made him/her who s/he is, s/he will have a better sense of personal goals and the kind of leadership s/he can offer. Whether entering an established organization with an existing hierarchy, a predictable work environment with set protocols for providing services, or a start-up effort, there are choices the individual can make and actions s/he can take that will affect how the organization will evolve under his/her stewardship.

MISSION STATEMENTS

An organizational mission statement creates in people's hearts and minds a frame of reference, a set of criteria or guidelines, by which they will govern themselves. They don't need someone else directing, controlling, criticizing, or taking cheap shots. They have bought into the changeless core of what the organization is all about.

—Stephen Covey, *The 7 Habits of Highly Effective People*

The creation of a mission statement is an integral component of Covey's second habit of highly effective people, *Begin with the End in Mind*. As Covey describes it, all things are created twice—first mentally, and second, physically. Creation of a mental vision and purpose for a project, be it an individual, family, or organizational undertaking, is essential to achieving and accomplishing that undertaking. Covey (1999) states:

A mission statement is the highest form of mental creation for an individual, a family, or an organization. It is the primary decision because it governs all other decisions. Creating a culture behind a shared mission, vision, and values is the essence of leadership.

A mission statement that is created by the group who works together helps in establishing the shared visions and values that are essential elements of healthy organizations. Critical to the creation of any group mission statement is input from *all* participants. The key is to harmonize individual values with the values of the group so that people work together for a common purpose.

Ideally the creation of an organization's mission statement occurs in the following sequence of activities:

- C Input is requested from all members of the organization.
- C A preliminary mission statement is drafted.
- C The draft is passed around for feedback.
- C The mission statement is revised and finalized.
- C The mission statement is posted.
- C The mission statement comes under regular review and can be modified to accommodate the changing needs of the group (Covey 1989, 138).

Following the creation of the organization's mission statement, it can sometimes be effective to invite every department in an organization to generate its own mission statement that describes the core values and goals of the unit. What results is a wheel, with the organization's mission statement with its common goals at the hub and the departmental statements forming the spokes. Covey tells the story of a hotel chain that offered excellent and consistent customer service at levels so impressive that he inquired of the top management how they were able to accomplish this feat in such a large organization. He learned that the overall mission statement was "Uncompromising personalized service." Each hotel had then developed a mission statement that suited its distinct environment and business climate and, within each of the hotel departments, specific mission statements had also been developed (Ibid., 139-140).

Every mission statement spelled out:

- C What the employees stood for.
- C How they related to the customers.
- C How they related to each other.

The time spent, the sincerity and patience of the groups who worked together to resolve their differences, and the efforts to align the systems and structures within the organizations helped to arrive at a set of shared values that generated tremendous energy and enthusiasm. Both performance and company loyalty improved dramatically. The staff felt involved. They cared about the company, and they trusted the leadership who trusted them to participate in the process.

Numerous organizations are developing mission statements these days, but how many include their entire staff in the formation of the core values? Often they don't even think of it. The director of a leading criminal justice organization specializing in research and technical assistance was approached by one of the largest probation departments to bring its managers up to date on promising policies and practices being developed as models at the national level. The client planned to send forty-five managers for training and technical assistance in areas such as enhancing victim services, intervening in family violence, and management of sex offenders in the community. It was to be a sizable contract.

The client agency listed the development of a mission statement as the first item on its agenda, a plan so "out of sync" with the potential contractor's own leadership philosophy that he initially refused to include the task on the program and almost lost the contract. He objected to the fact that forty-five managers would be determining the mission of the entire agency. A firm believer in full staff participation in the writing of an organization's mission, the contractor eventually convinced the agency that it would be wiser to teach the managers the "process"—how to conduct the creation of a new mission statement—so that they could return to their agency and carry the process out with the participation of all of their co-workers (Wicklund 8 January 2001).

EMPLOYEE CORE VALUES: SETTING STANDARDS

Morningstar is a financial services company that has prospered and grown exponentially in the last decade, monitoring mutual fund growth under the leadership of Joe Mansueto, its founder and chairman. Co-workers consider him an empowering leader whom they profoundly trust and he in turn trusts them to work at their full potential (Haasnoot 2000, 10). Morningstar employees generally agree with the statement that "You are allowed to take risks and go with your judgments, because you know if you are wrong you will disappoint Joe, but your job is not in jeopardy." (Ibid., 16) In his book, *The New Wisdom of Business*, Haasnoot quotes Mansueto on the subject of trust and autonomy in the workplace:

I like to give people a wide area to maneuver by giving them general goals and guidelines and letting them figure out how to do it. I certainly do not want to micromanage people. I think people want room to

express their own creativity and to do something their way. I certainly don't have the ideas to solve all of these problems. If people are looking to me to solve all the problems, then we are both in trouble. (Ibid., 17)

Giving co-workers as much freedom as they need to feel creative and to find their own ways of meeting the challenges posed by the company is an increasingly popular leadership approach. If this approach is chosen, however, it is the responsibility of the leader to work out performance and ethical guidelines with the staff so that everyone understands the standards they should maintain. Furthermore, it should be made clear to the staff that included in the freedom offered is the *responsibility to maintain those standards with diligence*.

Mansueto and his staff developed a handbook that provides guidelines on ethical behavior, standards of interaction with clients, the type of work environment they want to foster, the obligations of the company to maintain it, and the obligations of the staff to respect it. The following is an excerpt from the Morningstar Financial Services Employee Handbook:

- C People should have a consistently positive experience with Morningstar.
- C Be consistent. It is not enough for a person to experience excellent service only once.
- C Even bozos deserve the best.
- C Be sincere.
- C Be willing to go the extra mile.
- C Say yes. Our standard response should be yes, but if for some reason we cannot honor the request, don't just say no.
- C Under promise, over deliver.
- C Little things do mean a lot.
- C You are Morningstar.
- C To create great products we need great people.
- C People who can manage themselves and their workloads and can take initiative can do the most for Morningstar.
- C The environment here should only fuel your enthusiasm and passion for what we are trying to achieve. If you see something that can be improved, please let your manager know, or go ahead and correct it.
- C Morningstar should offer a creative environment that lets people think broadly and question current practices.
- C We expect everyone at Morningstar to behave with the highest ethical standards.
- C If you enjoy your work, it should be fun. We owe it to ourselves to find ways to make this experience a positive one for everyone.
- C It's hard to create great products if you are stressed out—so be good to yourself. Find ways to ease the tension and stress of daily work. Go out for a short walk, listen to some favorite music, take the time to eat a good meal, or do some reading in our library. (Ibid., 21)

These excerpts clearly demonstrate the respect accorded staff and customers alike, as well as concern for staff well-being and expectations about ethical behavior. Morningstar leader Mansueto is an extraordinary example of a leader who knows how to both communicate positive and high expectations and do everything possible to facilitate the willingness and capability of his staff to live up to his standards.

COPING ENVIRONMENTS VS. LEARNING ENVIRONMENTS

Understanding the leader's role requires consideration of the type of working environment that the individual is in charge of and the type of working environment that s/he wants to create. Generally work environments can be divided into two types: *coping environments* and *learning environments*.

Individuals who work in coping environments are expected to be responders. They plan for what is ahead and adapt the workplace for the changes that they will need to make to stay abreast of the times. Coping environments involve benchmarking: monitoring the achievements of other similar organizations to establish the highest current standard and ensuring that the organization maintains that standard. Coping environments tend to be manager-focused. Most traditional corporations operate this way as do many agencies in criminal and juvenile justice.

A concept defined in the early 1990s in *The Fifth Discipline* (Senge 1990) and *The Learning Company* (Pedler, Burgoyne, and Boydell 1997), learning environments are dedicated to the generation of new ideas and the creation of a culture of expanded thinking. For example, Morningstar can be considered a learning environment as are most of the software and Internet companies that have developed in the last decade. Senge describes a learning organization as "an organization that is continually expanding its capacity to create its future" (McCall, citing Senge, 1998, 187). The leaders are stewards, designers, and teachers. A leader in probation and parole management describes himself as a leader in a learning environment. His job is to remove the impediments that block the paths his co-workers are pursuing in their research and development of new programs.

I am the guy with the machete cutting the swath through the jungle so that the staff don't have to duck the branches. At the same time, I am the guy with the shovel who walks behind the elephant in the parade and scoops up the "poop." In other words, I am responsible and take the blame for what goes and grows wrong under my charge (Wicklund, 8 January 2001).

Haasnoot cites six characteristics of a learning company:

- C It has a commitment to continuous learning.
- C It has in place processes to create, capture, and share knowledge with people who have a need to know.
- C It as a system of critical and systemic thinking in place.
- C It creates a culture that values, respects, and rewards learning.
- C It is willing to experiment and be flexible with what it does learn.
- C It is people-focused and people benefit from the process (Haasnoot 2000, 40).

One leader in probation services for the state of Colorado is responsible for statewide probation standards and policy development. He works hard to create a learning environment and relies upon his staff to think expansively. His stewardship approach has been to carefully evaluate staff performance and progress every year and remove impediments whenever

possible. If they need funding resources, legislative support, or legal authority to move forward, it is his job to secure it. The office staff comprises self-directed work teams made up of individuals with different skills. There are no unit supervisors. He asks that people think for themselves and not come to him for problem solving. The principle of his hiring approach is "there is no place on the staff for soldiers, only leaders." (Fogg 8 January 2001)

Whatever environment—coping or learning—the team functions in, the leader must consider which environment is better suited to the goals of the organization. S/he should also value the co-workers' well-being. A leader needs to create a culture that recognizes and rewards innovation—an environment in which people can grow and improve their skills and one that allows them to take risks and make mistakes.

COMPETITION VS. COOPERATION

Much of the recent leadership writing on competition versus cooperation comes out strongly on the side of cooperation. Abraham Maslow writes in *Maslow on Management* that "enlightened economics must assume good will among all members of the organization rather than rivalry or jealousy." (Haasnoot, quoting Maslow, 2000, 61) Some of the underlying beliefs about the importance of cooperation, as opposed to competition, in the work place are that it creates unity, loyalty, and good will. It also fosters creativity and builds self-esteem among participants. Haasnoot writes that "when true cooperation is in place there is usually a common purpose, coordination, and meeting of diverse minds, and people fully leverage their skills." (2000, 75)

Doug Walker, founder of a thriving software company, has tried to create a corporate culture where respect and trust foster collaboration among an egalitarian group of people. "Collaboration intrinsically involves open, constructive sharing." He goes on to say that there are no quotas and no rules. "We use a system here that is principle-based instead of rule-based. Respect and trust guide us through the process." (Haasnoot, quoting Walker, 2000, 56-58) He readily admits that this approach works because the company takes incredible care in hiring people who can work in this environment. An average of fifteen hours is spent interviewing anyone before s/he is hired—enough time to feel confident that the newcomer can thrive in a "principle-based" system.

Critics of competition in the workplace believe that it creates both unnecessary anxiety and unnecessary levels of aggression. They deny that it produces better results because greater efforts are made to attack the opposition's weaknesses than are made to develop one's own strengths. Competition creates losers even though they may have done an excellent job.

On the other hand, since time immemorial, competition has been a motivating factor for individuals to increase performance and achieve excellence. It is hard to judge if the traditional beliefs about competition ever apply in the workplace: competition builds character and self-esteem, is fun, is instinctive, produces better results, and leads to innovation. A little insight into how competition operates in the organization, however, will help a leader to understand workplace dynamics. Some people are competitive by nature and by habit, and the leader should understand how they are motivated.

Whether a leader chooses to introduce competition to the organization or eliminate it depends on many considerations. Creating an atmosphere of cooperation is *essential* to a healthy working environment. Whether a certain amount of competition can be sustained is specific to the environment and the job descriptions.

Modern leadership theorists generally view fostering competition in a negative light. There are other negative tools that leaders bring to bear on their co-workers that can produce results in the short term but, in the long term, breed discontent and distrust.

Closed-book management. When people receive regular feedback that enables them to know how they are doing in their job and how the company is doing, they feel more involved and more secure. The opposite is also true. Staff who are kept in the dark about the quality of their performance and the health of their company feel manipulated, detached, and insecure.

Leadership by fear. Machiavelli wrote that if "one's country is threatened, there should fall no consideration whatsoever of either just or unjust, kind or cruel, praiseworthy or ignominious . . . The people must fear their leaders, but they must believe in the goodness of their leaders." (Ledeen 1999, 117-118) It is surprising how many modern leaders cite Machiavelli's philosophy for effective leadership as their guide to maintaining power and domination. In the short term, such treatment *perhaps* makes people feel secure in the sense that it appeals to their desire to have a patriarch or a matriarch but, in the long term, it makes them dependent, angry, and distrustful.

Coercion? Or take the time to persuade. For a leader to compel people to do things by the use of his/her power as a leader is ill-advised when s/he can take the time to befriend them, communicate with them, and explain to them why s/he is taking an unpopular decision. Abraham Lincoln said that when a leader begins to coerce his followers, he is essentially abandoning leadership and embracing dictatorship.

When the conduct of men is designed to be influenced, persuasion, kind, unassuming persuasion should ever be adopted. If you would win a man to your cause, first convince him that you are his sincere friend. On the contrary, assume to dictate to his judgement, or to command his action, or to mark him as one to be shunned and despised, he will retreat into himself, close all avenues to his head, and his heart; and tho' your cause be the naked truth itself . . . you shall no more be able to reach him, than to penetrate the hard shell of a tortoise with a rye straw. (Phillips 1992, 41)

THE WIN/WIN PARADIGM

Probably the strategy that has received the most attention in Covey's theories on leadership is the Win/Win paradigm. In this model, the goal of any interaction between individuals, in families, and in organizations—both internally and externally—is the creation of win/win solutions. Covey explains that our focus in every human interaction should be on "producing personal and organizational excellence by developing information and reward systems, which reinforce the value of cooperation." (Covey 1989, 206) To operate with the Win/Win paradigm means that one is in a frame of mind and heart "that seeks mutual benefit in all situations." The belief inherent in the concept is that there is plenty for everybody, that one

person's success is not achieved at the expense or the exclusion of the success of others, and if it is a "No Win" situation, then it should be avoided.

Arriving at a win/win solution requires trust in the good intentions of the parties, openness in the sharing of information, and honesty in all dealings. By arriving at an understanding of the needs and realities of both parties, the process promotes the creation of solutions that are mutually beneficial. Covey points out that this kind of exchange provides "tremendous emotional freedom and harmony in family and work relationships. In the business world it promotes the kind of creative and cost-saving collaborations between organizations that are becoming a necessity in the modern world (Ibid., 207-214).

Covey also stresses the importance of "No Deal" in the win/win model. "Anything less than Win/Win in an interdependent reality is a poor second best that will have impact in the long-term relationship. The cost of that impact needs to be carefully considered." (Ibid., 214)

An analysis of win/win in successful interpersonal relationships can be looked at from the points of view of (1) the characters of the participants, (2) their relationships, and (3) the agreements that they make. Necessary qualities of character are self-awareness, imagination, conscience, independent thinking, courage, and an understanding of one's innermost values.

In the relationship there must be mutual learning, influence, benefits, and commitment to the win/win outcome. This relationship will not diminish the issues to be resolved but will replace the negative energy generated by the conflict with positive, cooperative energy focused on understanding the problem and finding a mutually beneficial solution (Ibid., 216-222).

Finally, win/win agreements can cover many types of interaction: between employers and employees, between independent people working together on projects, between companies and suppliers, and between companies and their clients. Win/win agreements are a means to clarify expectations of any group working together for a common or an interdependent effort. In win/win agreements, the following elements are made explicit:

- C *Results* desired.
- C *Guidelines* within which the results are accomplished.
- C *Resources* available for the effort: human, financial, technical, and organizational.
- C *Accountability*: standards of performance, time frame, and method of evaluation.
- C *Consequences*: What happens as a result of the evaluations (Ibid, 223-244).

Covey writes of a four-step process to help people develop a win/win approach to negotiations and problem solving:

- C See the problem from the other point of view. Understand and give expression to the needs and concerns of the other party.
- C Identify the key issues and concerns.

- C Determine what results would constitute a fully acceptable solution.
- C Identify possible new options to achieve those results (Ibid.).

MOVING BEYOND ADVERSITY: THE NATURE OF OPTIMISM

As a leader during a time of change, I think it is my obligation to first quickly deal with my own predictable emotional cycle. Then it is my job to help people move through their feelings and to understand that we are all totally in control of how we react to major changes that we don't agree with or didn't engineer.

—Phyllis Campbell, President, U.S. Bank of Washington (Mackoff and Wenet 2001, 116)

How a leader responds to adversity and how s/he frames a difficult or threatening situation to co-workers has a great deal to do with how well s/he will be able to respond. Major General John Stanford used to say, "leadership is not a role but a point of view." (Mackoff and Wenet 2001, 122) The greater the fear component and the negative energy attached to any problem, the harder it is to view it objectively and respond to it efficiently. Another Stanfordism is that "[w]hen leaders choose to live in the world of "yes," they can turn adversity into an event of knowing." (Ibid.) Leadership theorists define the reframing of negative events in a positive light as a *positive explanatory style*. Many effective leaders practice this approach quite naturally.

POSITIVE AND NEGATIVE EXPLANATORY STYLES

REACTION TO PROBLEM	NEGATIVE EXPLANATORY STYLE	POSITIVE EXPLANATORY STYLE
How long will it last?	It as always happening.	Take the long view, we can work this out.
How will we be affected?	It will ruin the company.	Confine the problem to specific circumstances. Strategize for a specific solution.
Who is to blame?	It is all my fault.	Take realistic responsibility for the error in the context of your responsibilities and your achievements.

Figure 1

A typical reaction to a problem that has been created is to ponder certain questions, such as: how long will it last; how will the leader be affected by it; and who is to blame (and the leader *is* to blame). Using a negative explanatory style, a leader responds that it is always happening; that it will ruin the company; and that it is all his/her fault. Imposing the discipline of the positive explanatory style is to answer the questions truthfully but in a way that is more objective. The leader takes the long view on the time frame, having the expectation that with enough time, the situation will work out or be solved; confines the problem to the specific circumstance it relates to; and takes realistic responsibility for the problem or error, in the context of previous accomplishments (Danzig 2000, 79-82; Mackoff and Wenet 2001, 112-122).

Maj Gen John Stanford was hired as the superintendent of Seattle Public Schools, having had little experience in the field of education. There was opposition to his hiring. Colleagues in the field advised him that he had been hired as token minority and could expect to be fired rather quickly. While he took care not to personalize the threats and assumed his duties with great enthusiasm, he found the job at hand to be daunting. The poor condition of the school district was detrimental to the quality of education they were able to provide to the children. The adversity centered on school management and dwelled on class size, teacher-principal conflicts, and department heads competing for dwindling dollars. No one had time to think about the students (Mackoff and Wenet 2001).

Applying positive explanatory techniques, Stanford decided to reframe school problems and set new goals that addressed the needs of the students and their achievements. He created a successful plan with a slogan that became a rallying point for all the participants and allowed them to set aside their complaints and bickering—"Victory in the classroom." The plan created an academic achievement plan for the students and a contract with a "trust agreement" for the teachers to deal with school budgets and staffing weighted towards student needs. Teachers and administrators were reminded of why they had chosen teaching in the first place and the plan helped them to renew their personal missions to teach (Ibid.).

POSITIVE ENERGY

Since leaders continually interact with other people, their co-workers look to them to be positive, good humored, and cheerful. Leaders must find a way to effectively manage their own fears and emotions. In his darkest moments during the Civil War, when his generals were failing to carry out orders and he was angry and frustrated, Lincoln wrote scathing letters—which he never sent—to expend his negative energy. He was very careful not to let minor differences and personal preferences affect his mood while working with others. With regard to quarreling over insignificant matters, he once advised a military officer, "Better give your path to a dog than be bitten by him in contesting a fight. Even killing the dog would not cure the bite." (Phillips 1992, 82)

A leader should consider mood maintenance as part of the job. Everyone is entitled to his/her moods, but if the leader can find an innocuous outlet for his/her negative energy—writing, vigorous exercise, meditation, etc.—co-workers will find refuge in the leader's equanimity.

OPTIMISM

Conveying optimism is an essential skill for any effective leader. An optimistic state of mind is attainable with practice. Among the Cherokee Indian Nation leaders, for example, there is a prayer that is offered at the beginning of meetings that is a plea for a positive framework. Participants are asked to dispel negative thoughts in order to make space for positive and creative ones. "Being of good mind" in fact is a general practice among the Cherokee that is used to create positive energy. In dispelling negative energy, they reflect on problems in a bigger context, and try to observe the connection between negative events and the universe (Mackoff and Wenet 2001, 104).

Chief of the Cherokee Nation Wilma Mankiller first learned "being of good mind" when her family was moved by the Indian Affairs Relocation Program from the woods in Oklahoma to central San Francisco. Rather than dwell on the injustice and the discomfort her family felt at leaving their friends and their lovely home in the woods, her parents focused on what the city had to offer to them: electricity, inside plumbing, central heating, good schools, and job opportunities, all of which they had previously lacked. It was true that they felt they had been wronged but they chose not to be dragged down by their own negativity that would prevent them from seeing the benefits of their new life.

When the previous chief retired, Mankiller accepted the challenge to run for chief of the Nation. Many Cherokee were angry that a woman wanted to assume leadership. She received harassing phone calls and other forms of intimidation, including death threats. She believed that gender was a nonsensical issue in the election and that she would lose the election if she allowed herself to dwell on it. Mankiller admits that sometimes there is very little upside to a negative situation, in which case the best one can do is reflect on what s/he learned (Ibid., 103-105). She has found throughout her career as a leader that "being of good mind" has been an essential practice—a simple prayer that rids the mind of negative thoughts, improving energy and heightening creative thought processes.

PASSION FOR WORK

In discussions of leadership, the term "charisma" has been given a number of different but overlapping meanings: a leader's magical qualities; an emotional bond between leader and led; dependence on a father [mother] figure by the masses; popular assumptions that a leader is powerful, omniscient, and virtuous; imputation of enormous supernatural powers to a leader; and simply popular support for a leader that verges on love (Phillips, citing Burns, 1992, 77). The leadership attributes that best evoke the adjective of "charismatic" are the clear communication of mission and the passion felt for work. Passion and conviction have great and energizing power that can stimulate co-workers and inspire them to help achieve the goal. "Passion ignites a contagious optimism." (Danzig, quoting Stanford, 2000, 82)

Unquestionably, survival and excellence in the field of victim services are clear indications of the passion an individual feels for helping victims and seeing justice served. In the process of acquiring greater leadership skills, the individual needs to look inward to better understand self, motivations, and passion. In so doing, s/he improves interpersonal skills and acquires practical skills that make him/her a more adept and confident leader.

SERVANT LEADERSHIP

Today there is a growing voice in modern leadership theory, and a shift in emphasis from financial capital to human capital as a source of organizational success. The concept of *servant leadership* (as defined by leadership theorist Robert Greenleaf 1977) is at the heart of this transformation, and elements of this theory abound in current leadership models. The point of departure for the servant-as-leader paradigm is that enlightened leadership puts serving others—employees, customers, and community—as the number one priority. Furthermore,

strong servant leaders focus on means and attitudes as well as outcomes. They see choices, have the willingness to make the right choices (based on values like respect, caring, and competence), and take responsibility to stay their course (Spears 2001).

Greenleaf attributed the foundation of servant leadership to *Journey to the East*, a work by Hermann Hesse (1956). This book is an autobiographical account of the narrator's journey toward enlightenment, wherein he is accompanied by his faithful servant, Leo. Throughout the arduous journey, the narrator and his companions are assaulted by all kinds of disasters and hardships. Leo, by his spirit and warmth and gentle service, is able to sustain the travelers through these challenges. Then Leo is lost. The effect on the travelers is extreme; they end up wandering for years, and the narrator nearly dies. Finally, the narrator finds Leo, and is taken to the society he has been seeking—there, he discovers that Leo, his trusted and loyal servant, is actually the *leader* of the enlightened society.

According to Greenleaf (1977), the key elements of servant leadership are:

- C Listening receptively to what others have to say.
- C Accepting others and having empathy for them.
- C Having foresight and intuition.
- C Being aware and perceptive.
- C Having highly developed powers of persuasion.
- C Having an ability to conceptualize and to communicate concepts.
- C Having an ability to exert a healing influence upon individuals and institutions.
- C Building community in the workplace.
- C Practicing the art of contemplation.
- C Recognizing that servant leadership begins with the desire to change oneself.

While theorists and researchers often take great care to avoid the injection of morality into organizational theory, Greenleaf affirmatively states that it is the very moral underpinnings of leaders who choose to serve that prevents the typical corruption so often seen in hierarchies of power. Many leading writers on leadership echo this "new" approach to leadership. John C. Maxwell cites "servanthood" as one of the twenty-one indispensable qualities of a leader and cites five qualities of the true servant leader:

1. Puts others ahead of his/her own agenda.
2. Possesses the confidence to serve.
3. Initiates service to others.
4. Is not position-conscious.
5. Serves out of love (Maxwell 1999, 136-37).

This challenging approach to leadership creates more questions than answers. It is not the embodiment of a simple formula that can be objectively applied for specific results. The exercise of servant leadership is as individual and varied as there are individuals and organizations. Yet the basic premise remains steadfast and unchanged—leadership in the name of true service to those led.

In his book *Synchronicity: The Inner Path to Leadership* (1998), Joseph Jaworski takes the concept of servant leadership one step further in describing the true servant leader as one who makes the choice to *serve life*. In his introduction to *Synchronicity*, Peter Senge, a renowned authority on leadership and organizational theory, describes Jaworski's work as making a profound connection between the world of hierarchical power that is quickly disappearing and the newly emerging scheme of shared power, vast networks, and self-managed teams. Senge cites Jaworski's assertion that:

. . . in a deep sense, my capacity as a leader comes from my choice to allow life to unfold through me. This choice results in a type of leadership that we've known very rarely, or that we associate exclusively with extraordinary individuals like Ghandi or King. In fact, this domain of leadership is available to us all, and may indeed be crucial for our future . . . That is the real gift of leadership. It's not about positional power; it's not about accomplishments; it's ultimately not even about what we do. Leadership is about creating a domain in which human beings continually deepen their understanding of reality and become more capable of participating in the world. Ultimately, leadership is about creating new realities (Jaworski 1998, 2-3).

The concept of servant leadership draws upon all the qualities discussed in this chapter, and carries the need to know oneself to its highest level of potential. In knowing one's own capabilities, strengths, and weaknesses, one prepares oneself for the most effective and constructive leadership possible.

CONCLUSION

The many examples of leadership highlighted in this chapter offer both inspiration and insights into what makes an individual an effective leader. One's past experiences—both personal and professional—contribute significantly to leadership attitude, style, and strategies. While there is no "one" style of leadership that emerges as preferential, there are many components of different leadership styles addressed in this chapter that offer strong guidance for creating a self-style of leadership that is comfortable, creative, and effective. Key among research espoused by prominent leadership theorists is the need for leaders to know and understand their own strengths and weaknesses.

The next chapter examines personal stories and historical illustrations of a quality absolutely essential to knowledge of oneself and one's true capacity for leadership—the possession and exercise of integrity.

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ABSTRACT

The test of a true leader is his/her capacity to adhere to a strong foundation of ethics, articulate them as standards for colleagues and staff, and "practice what s/he preaches" by example on a daily basis. Personal leadership values form this ethical foundation, and are based upon past life experiences and current work processes that seek to improve rights and services for victims of crime. Ethical behavior reflects a sense of self-respect that translates into respect for others in all encounters. The process of living one's personal values in a leadership role requires being in touch with one's inner world of purpose, dreams, principles, aspirations, and ethics, which in the end gives meaning to one's life. The application of a leadership lifestyle is challenging and requires total commitment to the concept of integrity.

LEARNING OBJECTIVES

Upon completion of this chapter, students will understand the following concepts:

- C The various themes of ethics in leadership roles.
- C Ethical behavior as an organizational theme and how to measure one's own ethical principals and behaviors.
- C Personal leadership values that promote ethics and integrity and how to apply them in a leadership role.
- C Challenges to ethical leadership and strategies for facing such challenges.
- C The essential role of ethics and integrity in conveying a "unity of purpose" for an organization.

INTRODUCTION

The greatest leaders of history, regardless of their age, gender, race, or platform, all share one quality in common—absolute commitment to the principles they serve. Integrity in leadership is a quality that cannot be contrived and, in turn, is unmistakably apparent when a leader is truly committed to the cause s/he serves. Consider the words of Nelson Mandela, arguably one of today's most revered and honored world leaders, a man who emerged from twenty-six years as a political prisoner to be hailed as the triumphant leader and hero of a new South African democracy by allies and former enemies alike. In 1963, as he faced, before a British court in the strict apartheid regime of South Africa, charges of government sabotage which carried a possible death sentence by hanging, he made what many consider to be the most effective political speech of his career, detailing his efforts on behalf of democracy and

freedom. In his authorized biography on Mandela, Anthony Sampson quotes a powerful portion of Mandela's speech in the following descriptive narrative:

"During my lifetime I have dedicated myself to this struggle of the African people. I have fought against white domination, and I have fought against black domination. I have cherished the ideal of a democratic and free society in which all persons live together in harmony with equal opportunities." He paused and looked at the judge: "It is an ideal which I hope to live for and achieve." Then, dropping his voice, he concluded: "But, if needs be, it is an ideal for which I am prepared to die." (Sampson 1999, 192)

Mandela had dedicated his entire adult life to the struggle for freedom and democracy for the black Africans. His long ordeal as a political prisoner of the South African regime had barely begun. His lawyers, in every attempt to spare him the death penalty, initially begged him to leave out the statement "it is an ideal for which I am prepared to die." Mandela refused to leave out these words, finally agreeing only to insert the phrase, "if needs be." (Ibid., 191).

While leaders are rarely called upon to risk their own lives for the integrity of the causes they serve, it is this kind of unwavering and heartfelt commitment that can propel men and women into positions of great leadership. Often magnificent displays of integrity are recognized only with hindsight, after the drama and tension surrounding a situation have subsided and the atmosphere has cleared sufficiently so that the nature and intent of the act and the opposition to it are manifest. It requires great courage in periods of adversity and dramatic change for leaders to conduct themselves ethically. They are often alone, misunderstood, and under fire for taking on powerful opponents or for struggling to change the status quo. Subtle acts of integrity go unnoticed and thus unappreciated. Yet without a leader's constant adherence to the precious core values that underwrite the entity that s/he represents, an organization's well-being can rapidly deteriorate. Ethical conduct in leadership and trusting relationships among the participants—be they a company, a victim services agency, a political constituency, or a family—are prerequisites for healthy environments.

George Norris, whom John F. Kennedy memorialized in *Profiles in Courage*, was the freshman Senator from Nebraska who took on the Senate and President Wilson in 1917 to resist the United States' entry into the Great War in Europe. He led a small but committed opposition to the Armed Ship Bill that would have authorized the arming of American merchant ships in the war zone. Norris believed that Wilson was pandering to the munitions business that was seeking military protection for their commercial shipments to Europe, and that it would encourage German attacks and push the country into the war unnecessarily. Importantly, passage of the Bill would also have set a precedent for transferring the authority to declare war that resides with the Congress to the President, which is in violation of the laws of our nation (Kennedy 2000, 174-178).

Although a three-day filibuster prevented the passage of the Bill, President Wilson managed to arm the ships and "let lose a scathing indictment of the little group of willful men who had rendered the great government of the United States helpless and contemptible." Norris came under brutal attack from his peers and constituency; his unpopularity soared; and he expected to be recalled to his state at any moment. He kept his office by explaining the simple truths of his argument while making personal appearances throughout the country. Even though the

nation soon entered the war, in hindsight Norris was honored for his integrity and deemed a hero for his opposition to the Bill (Kennedy 2000, 178-191). Norris' commitment to the principles upon which he staked his political career is memorialized in the following quote:

I would rather go down to my political grave with a clear conscience than ride the chariot of victory as a Congressional stool pigeon, the slave, the servant, or the vassal of any man, whether he be the owner or manager of a legislative menagerie or the ruler of a great nation . . . I would rather lie in the silent grave remembered by both friends and enemies as one who remained true to his faith and who never faltered in what he believed to be his duty. (Kennedy 2000)

As a service-based field, integrity in leadership is crucial in the victims' rights discipline. The efforts of victim advocates in the last thirty years to get the nation to focus on the plight of crime victims in the criminal and juvenile justice systems has been a battle in which the exercise of integrity has been essential. Securing the passage of laws that mandate victims' rights has required that the principles of justice to victims become established components of criminal and constitutional law. It is an ongoing process. Caring for victims and seeing that their rights are honored and justice is served is, by definition, "ethical behavior."

Victim services is a dynamic, exacting, and developing profession that both compels and consumes those who have made it their profession. It spans local, state, and federal criminal justice systems and allied professionals, and sweeps across every aspect of daily life. Victim service professionals deal daily with traumatized people who but for giant strides made by the victims' rights discipline would be unattended or poorly served. What crime victims need, want, and are entitled to receive has been learned out of necessity and in a relatively short period. The knowledge has come as a result of increasing collaboration between policy-driven systems and individual crusaders for crime victims. Ethical and uncompromising leadership across the wide spectrum of victim concerns and issues has been a powerful catalyst in the development of comprehensive services currently available to victims, and such leadership is essential for further progress. Integrity, that unwavering commitment to purpose, has been responsible for the many gains made in the effort to gain recognition and rights for victims. Integrity in leadership, then, is nonnegotiable. To be effective, a leader must understand and embrace a strong set of ethics, communicate them as a valued standard to co-workers, and live by them. Integrity is the cornerstone on which trusting relationships are built and from which all honest consensus is created. This chapter defines elements of integrity and discusses how these elements are essential to effective and authentic leadership in any field and specifically in victim services. In what ways does a profession that deals largely with human emotions affect the nature of leadership? The chapter will look at ownership and the different kinds of boundaries that are relevant to leadership in victim services. Finally, it will discuss integrity, both practically and philosophically, in human relationships and in leadership roles.

APPLYING ETHICS IN LEADERSHIP ROLES

Ethics is a way of teaching you how to live as though you were one with the other.

—Joseph Campbell

Ethical behavior often has a great deal to do with reconciling interests: the moral principles behind the choices one must make are often in conflict; choosing one option over the other

requires critical analysis and deliberation. Recognizing an ethical problem within a complex set of circumstances is a test of one's ability to reason moral issues. Often, making moral choices in a family situation is clearer and more straightforward than making moral choices in professional life where the positive and negative repercussions of an ethical choice may occur at a greater distance from the decision maker and have little direct impact on him/her. In the corporate world, leaders frequently find themselves caught between their professional duties and general morality. Do their actions serve the good of the staff? Do their actions serve the good of the community-at-large?

Those whose task it is to watch over the general well-being often see their mission as a career; at the center of which their own person occupies pride of place. Under such conditions, it's difficult for them to disregard the immediate term—especially their own popularity—and consider what would be best for everyone's good in the long term (Ricard and Revel 1998, 195).

Making ethical choices requires a clear idea of one's moral mandate and the ability to critically analyze choices to determine how they stand up to principle. Although there are many approaches to making ethical choices, all basically reflect on good and evil and whether or not an action taken will be harmful to someone or something. The long-term positive results of a decision emphasizes its validity. Some of the different (and sometimes contradictory) choices are:

- C The categorical imperative: Always act so as to treat others as an end and never *only* as a means.
- C Be courageous but not rash, liberal but not stingy, righteously indignant but not malicious. Have pride but not vanity.
- C Take account of the preferences and interests of all those affected to bring about the greatest net satisfaction of preferences.
- C Resist what appears to be good in the short run for what appears to be *really* good in the long run.

CLASSICAL ETHICAL PRINCIPLES

Arriving at moral decisions (or in some cases, the most moral decision possible in a circumstance) is about asking the right questions. Socially responsible business ethics attempt to apply classical ethical principles to modern business practices by proposing the questions below. The ten principles illustrated are tests to determine whether a decision can be considered ethical. It is recommended that *seven out of ten* be satisfied before a decision is made and the consideration should be for the long-term good:

1. Is the action contemplated in the long-term self interest of yourself and/or of the organization to which you belong?
2. Is the action contemplated honest, open and truthful? Is it one that you would not mind being widely reported to the media?

3. Is the action contemplated kind and does it build a sense of community, a sense of all working together toward a commonly accepted goal?
4. Is the action contemplated in violation of any laws (as the law represents the minimum moral standard in society)?
5. Does the action contemplated result in the lesser harm for society of which you are a part?
6. Is the action contemplated something you would like to see others take when faced with a similar dilemma?
7. Does the action contemplated abridge any agreed upon and accepted rights of others?
8. Does the action contemplated seek to maximize profits subject to legal and market restraints?
9. Is the action contemplated one that harms the least among us in any way?
10. Does the action contemplated interfere with the right of all of us for self-development and self-fulfillment? (Eighinger 1998)

Further, the elements to consider when faced with an ethical decision are :

- C What are the ethical issues in this case?
- C Whose rights are involved?
- C What are the social justice issues?
- C What solution strategies are available? How does the strategy measure:
 - reduction of harm?
 - maximization of benefit?
 - respect of rights?
 - fair treatment of all parties involved?
- C What are the potential consequences of solution strategies? Who will be most affected by the choices? Are there unintentional consequences that have not been considered? Will the positive outcome outweigh the negative ones? (Ibid.)

It is clear that leaders must consider a multiplicity of issues and concerns in making consistently ethical decisions and in developing a code of ethical behavior for their organizations. It is the leader's role to set a clear and uniform example of ethical behavior and to articulate specific expectations and goals so that ethical behavior becomes an integral *theme* of the organization.

LEADERSHIP AND TRUST

True leaders gain the trust of those they lead. While it is difficult to define exactly what trust is and what it means to those who follow a particular leader, we certainly know when it is present and when it is not. We know that it involves predictability, consistency, clarity of

communication and purpose, and that it is essential to the maintenance of good leaders. The establishment and maintenance of trust allows leaders to guide and shape an organization through good as well as difficult times. A strong foundation of trust sustains an organization or any group through challenging obstacles so that the proper care and time can be taken to find the right solutions.

Warren Bennis and Joan Goldsmith, in their book, *Learning to Lead* (1997), describe four qualities of leadership that, when practiced, create and engender trust. They are vision, empathy, consistency, and integrity. The authors, through their extensive research on leaders, argue that a leader who is trusted demonstrates these four characteristics:

- C The leader has a *vision* for the organization that is clear, attractive, and attainable. We tend to trust leaders who create inspiring visions. The leader's vision functions as a context that provides shared beliefs and a common organizational purpose with which we can identify and feel that we belong. The leader involves us in the visions, empowers us to create it, and communicates the shared vision so that we integrate it into our lives.
- C The leader has unconditional *empathy* for those who live in the organization. We tend to trust leaders who can walk in our shoes and are able to let us know that although they may have a different point of view, they are able to see the world as we see it and understand the sense we make of it.
- C The leader's positions are *consistent*. We tend to trust leaders when we know where they stand in relation to the organization and how they position the organization relative to the environment. We understand how our leaders' positions evolved and know that they are willing to reconsider them in the face of new evidence.
- C The leader's *integrity* is unquestionable. We tend to trust leaders who stand for a higher moral order and who demonstrate their ethical commitments through actions that we can observe. Leaders uphold a standard of ethics and call themselves and others to account for deviations from this moral code.

It is helpful to consider these four qualities as we consider the importance of trust and integrity in leadership. Oftentimes, as we reflect on leaders in our past and present that have influenced us and/or continue to play an important role in our lives, we see these qualities in action. This is more fully explored in the learning exercise contained in Appendix B-3, *Qualities of Leadership*.

ETHICAL BEHAVIOR AS A THEME IN THE ORGANIZATION

We should therefore examine whether we should act in this way or not as not only now but at all times. —Plato

When the ethical behavior within an organization is suspect or there is an atmosphere of apathy and a need for a strong ethical code to serve as a positive motivating factor for all employees, the effort to establish the ethical code *begins with the leader of the organization*. The motivation starts at the top.

The National Institute of Ethics reports that leaders who encourage staff to maintain a high level of ethical behavior and to maximize their potential inherently do the following:

- C Convey a sincere interest in others.
- C Satisfy the needs of subordinates.
- C Develop an organizational commitment.
- C Are honest and open in dealings with fellow employees.
- C Allow co-workers to play an active role in decision making.
- C Provide challenges and responsibilities for staff.
- C Convey trust and understanding.
- C Assist in personal development (Trautman 1998, 41).

ETHICS IN THE WORKPLACE ASSESSMENT

The National Institute of Ethics has developed for law enforcement a series of training tools and manuals to determine what policies, procedures, or practices within an organization need to be added or revised to ensure integrity and ethics in the workplace. Two different surveys are conducted—one with staff and one with management. To encourage staff to speak openly, the surveys are sealed upon completion. Staff are requested to frankly disclose their criticisms about the level of ethics in the workplace, from the top down, and to give suggestions for improvements.

General survey questions that apply to criminal justice (and that also apply to victim service providers) are meant to provoke a discussion about the level of ethics in the organization and what would enhance them: What are the greatest needs in relation to ethics? Do unethical acts occur in the organization? What are the strengths in relation to ethics? How can they address the weak areas? (Ibid., 53).

Completion of the surveys allows the staff and leadership to examine and express their ideas, expectations, and shortcomings without risking job security. Once ethics become a central theme of the organization, the group as a whole can decide if they would benefit from ethics training.

ETHICS ASSURANCE COUNCIL AND ETHICS TEAMS

The National Institute of Ethics also proposes the creation of Ethics Assurance Councils for *all* kinds of organizations to bring staff together to share ideas, suggestions, and critical information while organizing and directing the effort to make ethics a focal point of the workplace. Councils can identify and resolve any unavoidable ethics-related problems that arise in the workplace as a result of company protocol or policy (Ibid.).

In a similar vein, co-workers who form Ethics Teams can work together to improve each other's ethical decision-making skills. They can coach each other and staff on solving problems, providing resources, and offering objective feedback.

The following are questions used in the National Institute of Ethics Self-Evaluation:

- C How do I decide ethical dilemmas?
- C Do I have set ethical beliefs or standards?
- C If so, do I live by these beliefs or standards?
- C How often have I done things that I am ashamed of?
- C How often have I done things that I am proud of?
- C Do I admit my mistakes?
- C What do I do to correct mistakes that I make?
- C Do I often put the well-being of others ahead of mine?
- C Do I follow the golden rule?
- C Am I honest?
- C Do people respect my integrity?
- C List the three best things that have ever happened to me.
- C What is the most dishonest thing I have ever done?
- C Did I ever rectify the situation?
- C What is the most honest thing that I have ever done? (Trautman 1998, 87)

PERSONAL LEADERSHIP VALUES

Victim service professionals hold the public trust as surely as do other public servants such as prosecutors, law enforcement, and the judiciary. Victims of crime trust and rely that professionals will adhere to a code of conduct based upon established principles and values. That code of conduct must also require service delivery to be appropriate and of the highest quality in technique and nature. The leader establishes a code of conduct and decision making that s/he adheres to with complete integrity. Integrity is individuals conducting themselves by a code or standard of moral virtue, which prevents untoward behavior in thought, word, or deed. The key to integrity is consistent and unwavering *commitment to a standard of principles or virtues*.

One of the challenges facing victim services is a lack of clearly agreed upon standards and credentials by which the quality and ethics of services offered by both individuals and programs can be objectively measured. This is not a reflection of dissension within the field, but rather an indication of the maturation and growth that has led to an increasing need for the articulation and creation of a common set of values. The diversity of service professionals within the field makes this a complex and complicated process that requires deep consideration and skilled consensus-building. The process has already begun—several states have developed certification processes and the Office for Victims of Crime has funded a national project that will culminate in recommendations (gathered from a diverse, national advisory board, as well

as from grassroots populations throughout the country) regarding individual, program, and ethics standards.

The lack of uniformity in credentialing is a challenge to public recognition of the standards upon which victim service practitioners and programs operate. Therefore, it is incumbent upon leaders to clearly articulate the values and principles that form the cornerstone of their provision of victim services. The individual articulation of these principles and values will guide and shape the overall articulation of standards.

What are some of the virtues by which integrity in victim services leadership should be measured?

The instructor said, Go home and write a page tonight. And let that page come out of you—Then, it will be true.
—Langston Hughes in *Theme for English B*

The greatest rewards come only from the greatest commitment.
—Arlen Blum, Mountain Climber, Leader American Women's Himalayan Expedition

- C *Commitment.* The first virtue of integrity is commitment to a purpose. It is absolute dedication to accomplishing a worthy goal. Commitment is unwavering and uncompromising. It endures doubt, blame, and rejection. Emotional attachment or passion, which is often ignored, begins with commitment and is a function of commitment. Leaders believe—through their own vision of lofty ideals—that they can make a difference. They embrace a goal, and expect and hope that others will devote their lives to the achievement of that goal. Leaders must be willing (in their passion for the purpose) to ensure that others also have a stake in creating and owning the possibility of the purpose.
- C *Trust.* Without trust, effective leadership is impossible. As a virtue, trust refers to loyalty and truthfulness. When leaders demonstrate that they are consistent in their actions, they create a relationship of safety and engender trust from others—trust that situations and events will be handled in accordance with principled standards. The often cited example of "going to the well with someone in the dark of night" captures the core of trust. Trust means knowing that one is in safe hands even under perilous conditions. Integrity in leadership engenders that kind of assurance. Leaders in victim services must not only establish trusting relationships with staff; they must also serve as teachers to the staff who may not yet be adept at forming trusting relationships with the victims they serve.
- C *Wisdom.* Daniel Payne said, "Wisdom is the gift, the endowments to know how to use power. Knowledge is only an instrument in the hand of wisdom." (Johnson 1995) Integrity in leadership requires the ability to use the power of wisdom in positive ways to strengthen people, systems, and institutions. Wisdom allows a leader to predict, distinguish, and discern conflicts, actions, and situations. It clears the vision to see beyond the immediate—to take into account the past, present, and future. Wisdom is the virtue that drives integrity.
- C *Responsibility.* A sense of responsibility which comes with power is the rarest of things. This virtue allows that leaders will step up to the line, take on the mantle, and demonstrate reliability. Responsibility means modeling a standard of excellence to which others can

aspire. Responsibility must be embodied and actual. Victim service professionals are faced daily with the overwhelming responsibility of caring for people during critical periods in their lives. The "responsibility" aspect of their work includes treating every client as a unique individual, whose pain and suffering deserves a consistent, quality response.

- C *Courage*. One isn't necessarily born with courage, but one is born with potential. Without courage, we cannot practice any other virtue with consistency. We cannot be kind, true, merciful, generous or honest. Victim service professionals need courage to confront the overwhelming issues in a field that hinges on life and death. They are also sometimes called upon to confront allied justice professionals about issues that affect the fair and respectful treatment of victims.
- C *Competency*. Knowledge is not power, it is potential power that becomes real through use. People with integrity are honest enough to acknowledge when they do not know something. At the same time, they bring a level of proficiency to their work which includes expertise in leadership skills. Leaders will challenge, inspire, and enable others through competent measures, as a function of their integrity. They will *always* lead by example.
- C *Sensitivity*. Sensitivity is a powerful source for helping others to feel strong. The victim services field is founded on the principle of empowerment. Integrity is based upon the ability to sense, consider, and regard the feelings and needs of others. Respect for others gives rise to the ability to be sensitive to others. Respect for the human condition should permeate one's standard of conduct. What seems to be most natural for professionals in victim services can sometimes become a "lost art" when one surrenders to isolation, loses touch with others, and focuses only on him/herself. Leadership is not an independent activity, but one that relies on *relationships between people*.
- C *Justice*. Injustice anywhere is a threat to justice everywhere. We are caught in an escapable network of mutuality, tied in a single garment of destiny. Whatever affects one directly affects all indirectly. We associate justice with entitlement—giving an individual what s/he is due. Justice is that and more. It is also a virtue of integrity, which permits a range of acknowledgment, consideration, attention, and redress to the needs of individuals that may not fit the definition of what is "strictly owed." This virtue takes patience, foresight, flexibility, and an understanding heart.
- C *Servitude*. "Real leaders are humble servants and not power-hungry tyrants. This concept proposes that greatness is achieved only through humility. Leaders with integrity refute the idea of superiority through position. Rather, they engage in helping and enabling others to have the leeway and the tools that they need for success—recognizing that the success of others is a positive reflection on them. Servitude means refusing to act with pretense, arrogance, or self-importance; it also means making the welfare of people and organizations—rather than power and prestige for one's own gain—a priority.
- C *Self-respect*. Joan Didion, in her essay "On Self-respect," says that to have the sense of one's own intrinsic worth is potentially to have everything: the ability to discriminate, to love, and to remain indifferent. To lack it is to be locked within oneself, paradoxically incapable of either love or indifference (Didion 1968).

These nine virtues comprise minimum requirements for integrity. They require diligent pursuit, which in turn requires strength, time, and the will to persevere.

Can integrity be taught or measured? Integrity develops out of repeated confirmation of self-worth and determination. Integrity is measured by one's actions. In essence, people with integrity are able to successfully integrate these virtues and others into their daily transactions. They live the precepts of honesty, reliability, resourcefulness, and concern and consideration for others. They inspire and challenge others to greater levels. They refuse to demand loyalty, yet are grateful for loyalty when inevitably, it comes. Finally, integrity accepts individual differences—both the frailties and strengths—which are by-products of the human condition.

APPLYING PERSONAL VALUES IN A LEADERSHIP ROLE

As the field of victim services matures, so does the need for leadership training and education. Having been integrated into police departments, prosecutor and court offices, probation and parole agencies, and hospitals, direct service professionals are being catapulted into positions of power in these bureaucratic institutions where established supervisors have had the benefit of years of leadership training and practical experience. Many victim service providers have been ground-level employees who were never exposed to leadership training. Now occupying positions of authority, but without the support or funding to acquire training, they may have a tremendous need for training in basic leadership qualities and strategies.

Preliminary advice to victim service professionals who find themselves overwhelmed with the leadership position they have assumed includes the following:

- C Learn not only about *things to be done*, but also about *how to do them*.
- C Learn to accept the new role and function as an equal with other leaders in the hierarchy of agencies and institutions. Embrace the total organization—not just the segment that provides victim services. Relate every conceivable aspect of the organization to the activities of victim services.
- C Seek to understand the policies and politics that drive the operation of the organization, and find constructive ways to contribute to both.
- C Learn from the experiences—both negative and positive—of colleagues in all divisions of the organization.
- C Understand the importance of continuing education and training.
- C And finally . . . believe in yourself.

It is also important to recognize that personal values among victim-serving professionals vary significantly. While the diversity of beliefs should be viewed as an asset, it can also present challenges to professionals who are "set in their ways."

A strong leader *encourages* and even *thrives* on diversity in values and beliefs of professional colleagues and staff. The varying perspectives often bring new, innovative approaches to victim services. They help victim service organizations to more appropriately "mirror" the diversity of the clients they serve. Perhaps most significantly, diversity in values and beliefs ultimately improves the quality and scope of victim and justice-related services.

MAINTAINING CONSISTENCY IN INTEGRITY AND ETHICS

We are all faced with many instances in which we are challenged to put our most dearly held beliefs and values into action. Sometimes there is a gap between what a leader believes is right and the action that s/he takes. This has been referred to as the "integrity gap." Having the courage and commitment to stand up for what we believe in when the time comes to do so is a common and recurring challenge for all human beings (Bennis and Goldsmith 1997, 139). Bennis and Goldsmith (1997) cite a study by authors Everett, Mack, and Oresick that analyzes the pressures upon corporate executives in maintaining ethical values while working to increase profitability of their corporations. One finding was that the executives fell generally into two types of categories: (1) "principled risk takers" and (2) "conventional decision makers" (Ibid., 139). The executives in the study fell generally into one of these two categories, and the differences were seen in the following three areas:

1. *Self-Consistency: Wholeness or Compartmentalization.* Did individuals see life as an integrated whole in which their beliefs applied to work as well as to church groups, volunteer organizations, and values at home?
2. *Personal Efficacy: High or Limited Sense of Agency.* Did individuals have a sense of power and control in their work life so that they believed they could take action to express their values?
3. *Scope of Awareness: Global or Circumscribed.* Did individuals see themselves as global citizens with responsibilities that are larger than their own corner of the world? (Ibid.)

It is a rare person who is solely a "principled risk taker" or "conventional decision maker." Most of us are combinations of both. Analyzing and reflecting upon the issues raised by the above three qualities is extremely helpful in determining our own capacities for leadership and for withstanding the pressures that oftentimes come with positions of leadership, e.g., pressures to conform, to take the easy way out, to keep everyone happy, to do things the same way they've always been done, or to not "make waves." Maintaining one's personal values and morals consistently and congruently throughout one's personal and professional lives is no easy task—like everything discussed in this manual, it is a long and highly personal journey. Appendix B-4 contains an interactive learning exercise designed to assist in analyzing one's own potential gaps in integrity.

CHALLENGES TO ETHICAL LEADERSHIP

The beginning of this chapter addressed the high price of integrity in leadership: learning it and constantly reinforcing its practice. Sometimes the best lessons are learned through failure and mistakes. As the old saying goes, *that which does not destroy me, makes me stronger.*

Success can be measured by the ability to overcome obstacles. Put another way, success can be measured by one's ability to avoid the mistakes that others have made along the way.

In order to gain some insight into problems that are common to victim service professionals, the following scenarios present examples of possible ethical quandaries.

ADAPTING TO CHANGE AND REMAINING RESILIENT: THE AGE/EXPERIENCE FACTOR

Lauren has been involved in the victim's movement for over twenty years. She remembers a time when the word "struggle" applied to the recognition of victims and their rights, the acquisition of resources for victims, funding for programs, and even respect and salaries for professionals in the field. Lauren cherishes her journey in all of these instances, which in some way defines her purpose in life. Her motivation has always been her passion to reach out and help victims; her commitment has often driven her to live her job 24/7. The organization for which she has been the director for twenty years has grown from a staff of three to a staff of eighteen. One of the major contributing factors to the dynamics of the workplace environment is the age and level of experience of the victim advocates, and how each generation's motivations and core values shift dramatically from one age group to another.

Lauren lives by a traditional work ethic. Her primary motivation is to give back and to serve—to do good for others. She works hard at her job to serve victims to the greatest degree possible, and if that involves overtime and home phone calls, so be it. When her staff jumped from three to eighteen people, the first difference she noted between her motivation and that of her new staff (who were generally age thirty and younger) was an apparent lack of shared commitment. They wanted to work a nine-to-five job, and they wanted independence and responsibility assigned to them immediately without regard for learning and earning the work experience. They were fearless but seemed to demonstrate less passion for serving victims than their more senior counterparts. Lauren was frustrated because she did not view them as serious in their quest to serve victims and witnesses of crime in the same passionate sense that she applied to her life's work. An added dynamic of the extremes in age/experience within Lauren's office was a generation disparity. Older, more traditional staff, who entered the field of victim services with considerable experience in related fields, sometimes expressed feeling insecure and inadequate among the younger, more aggressive staff who have not had the years of experience but nevertheless are charged with more responsibility in the work environment. The older individuals, new to Victim Services, were often trained by first-line supervisors who in some instances could be as much as twenty-five years younger than the trainee, and the dynamics of the training were hampered because of such an age/experience differential.

Specifically, Lauren was concerned about the discomfort of a newcomer, a therapist who joined her staff. She brought with her years of training and experience with clients in crisis. After learning from the young trainer about the speed and efficiency required in dealing with the great number of victims who require speedy referrals and case processing, the therapist (who is fifty-six years old) felt that she was being asked to ignore her victim counseling skills to help streamline office protocols. Not only did this newcomer resent the lack of recognition of her experience in helping those in need, she also felt that the younger staff members did not respect her as an individual.

Issues to consider:

- C In a discipline where people often deal with high intensity emotional experiences, how does this example demonstrate a common theme in the workplace? Why is this situation an ethical quandary for Lauren?
- C What type of serious long-term damage can result from allowing a situation of this nature to go unchecked? Tolerance, as a virtue of integrity, might allow Lauren to connect/communicate/understand her younger, less experienced staff. In what ways can she expand her own perspective by broadening her lens?
- C While part of the problem with the new therapist may be related to the therapist's dislike of her subordinate position to a young trainer, Lauren must deal with the essential issue of her employee's self-respect as well as the fundamental well-being of the organization. Lauren may need to reassure the therapist that she was hired precisely because of her experience as a therapist. How can Lauren help the therapist to frame the responsibilities of her new job in such a way that she will employ those skills, improve and expand them, and pass them on to others?

Lauren's challenge as a leader is to recognize that she cannot impose her work ethic on others, a critical factor in the leader/follower relationship. How much is too much in that relationship? Lauren as a leader must be capable of supporting all of her staff to do very good work on their own terms. The ultimate challenge, however, is to make the trials of others easier to bear.

Current leadership theorists have examined with great interest how sensitivity to generational differences is becoming a factor in motivating staff to improve their performance. Essex and Kusy (1999) write that:

For generation X (born from 1964 through 1975), growing up with computers and MTV and being the first generation of latchkey kids, it's no surprise that they are not used to being closely supervised. While loyal to a profession or a cause, they are not necessarily loyal to an organization, having witnessed the downsizing of many baby boomers. They may want rewards based on performance, not longevity or degrees, and don't understand why they should be required to work their way up if they have the necessary skills now. As Xers enter the workforce, leaders of all generations will need to understand how best to lead and retain them because this is the thinnest labor pool in recent times.

According to Essex and Kusy (1999), baby boomers (those born from 1946 to 1963) typically demonstrate stronger work ethics and company loyalty. They are more open to talking through issues at length with supervisors, brainstorming with colleagues, and working in team efforts. They have a clear sense of the importance of career building and establishing an income base.

The oldest work pool for organizations is made up of people born between 1925 and 1945 who share traditional work ethics, value loyalty and stability, and demonstrate respect for authority. "They bring a strong work ethic, a wealth of life and work experience, as well as commitment to the organizations fortunate enough to have captured their wisdom." (Ibid., 20)

Drawing upon three generations of workers who have powerfully different motivations requires that leaders cease to even consider that what they want—and how they want to achieve it—is transferable. For example, the current rule for dealing with generation Xers is to stop "squeezing them for motivation and commitment." They can be excellent at their job if one remembers that "play and work go hand in hand." To GenXers, "there is life after work" (Ibid.).

Baby boomers have other needs. They are more organizationally loyal and relate profoundly to their work even if they don't like their job. A key motivation to a baby boomer is having adequate opportunities for advancement and participation in key organizational decisions. Essex and Kusy (1999) suggest that boomers need help in stretching their talent, but they also tend to work excessively. "To avoid mid-career burn-out, provide boomers with the self-actualizing experiences for which they hunger." Allow them opportunities to be creative. Give them mobility and offer them sabbaticals.

Essex and Kusy (1999) point out that it is common among older workers with traditional work ethics to feel that what they have accomplished in their careers is not being held in as high esteem as it should be. It is important that their abilities be recognized. Under skillful leadership, they oftentimes become the office "sages" to whom younger staff turn for a wide range of advice about challenges in victim services, as well as general life situations.

OWNERSHIP: THE IMPORTANCE OF CLEAR AND HEALTHY BOUNDARIES

People drawn to the field of victim services are often passionate about crime victims and their issues. Victim service providers, as pioneers and crusaders for victim justice, work tirelessly to ensure that crime victims are afforded rights and services. Crime victims and providers enter into a close relationship characterized by the victim's *dependency* on the service provider. When service providers become *so involved with their clients* that they become *reliant upon their relationship with their clients to address their own needs*, this behavior represents a compromise of ethical standards of professionalism. It is necessary to recognize the importance of—

- C Understanding that the "need to be needed" is potentially harmful to clients as well as staff.
- C Separating from one's work and finding a balance between work and other aspects of one's life. Just as there are addictions to drugs, alcohol, and sex, there are addictions to "being needed by others."
- C Finding resources to support one's mental health—a mentor, therapist, friend, hobby, family, exercise, spiritual leader, or a combination.
- C Understanding the tremendous impact that a leader's behavior may have upon clients and their families.

Kathy is a victim service provider in a law enforcement agency. Throughout her years of working victim cases, she has developed close relationships with many homicide survivors, and is deeply aware of the importance of not cultivating a dependence that some survivors may develop during their interactions with key players within the criminal justice process. Those

interactions may be with victim service providers, prosecutors, police detectives, or other agents.

Kathy observed a phenomenon among some female homicide family survivors that she realized could create a serious problem for them. They have a tendency to become completely reliant and dependent on the male detectives investigating the homicide. It is difficult to assess how much of the dependency is the result of the need for victims to be in touch with every bit of information specific to their cases, the all-consuming aspects of homicide, or possible issues associated with the investigators' needs beyond professional accomplishment. Whatever the reason and extent of these sometimes involved and intense associations, the end of the investigation often results in the end of the relationship and can have devastating effects on the grieving survivor.

Kathy believed her duty was to take a stand on helping investigators to recognize the important influence they have on victims. The climate of her agency would not permit an open discussion of the situation without jeopardizing her job and the working relationships she had spent so many years developing.

Issues to consider:

- C Kathy may need to establish a policy of meeting with all female homicide family survivors early in the investigation. This process could help educate victims further regarding their right to information, not as a component of their relationship with the investigator, but as a full-scale right required by law.
- C Kathy may consult with local mental health professionals familiar with this type of dependent response in victims to develop the most effective means of communicating with the victims whom she considered vulnerable. One option may be to develop a training for law enforcement that will assist them in explaining the sort of unusual emotional responses that victims might have in dealing with their loss, i.e., excess alcohol or other drug use; excess medication; and falling in love with an inappropriate person who may be helping them deal with the crime. Kathy communicated this message throughout the staff, and it has been assimilated without causing any harm or creating animosity among co-workers, investigators, or detectives.

SEARCHING FOR APPROVAL IN ALL THE WRONG PLACES: FAILURE TO STRIVE FOR WHOLESOME RELATIONSHIPS WITH SELF AND OTHERS

In his "Rules" adapted from his autobiography, *My American Journey*, Colin Powell (1995) indicates that one should never let ego get so close to one's position that when the position goes, one's ego goes with it. It is a mistake to be guided by one's own need for ego fulfillment in leadership situations.

Leaders sometimes find that they are driven by a need to have employees like them, include them in their lives, and identify with them beyond the dictates of the job. These struggling leaders fail to recognize their inner world. They cannot draw a distinction between their own

personal needs and the professionalism required for the work environment. Ethical behavior allows that distinction.

Relationships must start with the leader's concept of self and move on to relationships with others. These relationships must be meaningful, empowering, and reciprocal in nature, and must reflect a broader view of respect than one's inherent due. The broad view is the infusion of respect throughout every encountered situation. Rather than look for adoration from followers, real leaders search instead for respect through mutual relationships. Leaders must create a valuing culture in the workplace where relationships are built on appreciation—rather than on tolerance—and all are made to feel an equal part of the whole.

Beth and her co-worker Vickie had worked together in establishing a unique program response to victims of sexual assault. The two colleagues considered themselves crusaders in providing quality service for specific types of crimes. They spent long grueling hours planning and implementing their program. The hours together created a bond that carried over into their personal lives. The two received public acclaim for their contributions to the field and as a consequence, a grant provided the opportunity to hire more staff and Beth was promoted into the position of director of the program. Vickie did not resent the promotion. However, their close friendship proved to be a problem for the newly hired staff, to the extent that Beth experienced major difficulties in retaining staff, based on accusations of favoritism, failure to include total staff in various projects, and a distorted assumption of project ownership.

Issues to consider:

- C Prior to the expansion of the program and her promotion, Beth's relationship with Vickie was typical of those shared by colleagues in the workplace environment. When the promotion and staff adjustments changed this, Beth failed to make the appropriate corresponding adjustment.
- C What did Beth need to know and understand about her role as a leader? What ethical issues were apparent in her behavior? Could Vickie have helped Beth in modifying their relationship?
- C Could Beth also have been struggling with some ego-related issues surrounding her special work with sexual assault victims? Could she have been possessive of the program and her relationship with Vickie and unwilling to bring others into the process? What are her ethical obligations in this situation?

Sometimes individuals placed in leadership roles assume that because they have special responsibilities, particularly those associated with managing people, they are entitled to special privileges and so can take the best of everything . . . the best office, equipment and materials, holiday time, and other benefits. Being in charge and setting the pace and standard for others is exciting and exhilarating. When leaders become obsessed with their sense of importance they fail ethically. Any amount of this conduct, even seemingly insignificant behavior, ultimately manifests itself in a destructive way. The manager who demands loyalty, extracts favors, and abuses employees cannot hope to become a leader. Employees are quick to

discover inequities in a system fueled by exploitation. Integrity demands that leaders let go of petty self-interest.

FAILURE TO BRING EVERYONE INTO THE INNER CIRCLE

Valuing diversity means dealing with cultural differences and expanding one's awareness and acceptance of these differences. It means having the integrity to confront and dispel one's own personal negative feelings and attitudes about individual differences among people. Whether the differences relate to sexual orientation, physical or mental disabilities, race, age, ethnicity, socioeconomic or religious affiliation, leaders make a point of including and caring for about everyone. They ensure that appreciation is truly about quality treatment for all. Leaders believe in their followers and promote an environment of respect and support.

LEADERSHIP, RELATIONSHIP, AND UNITY OF PURPOSE

A successful organization must be founded on a strong set of core values that are embraced by all of its members. In a group of people with many backgrounds, interests, and motivations, how can one be sure that they will all commit to the same set of values? *It is the responsibility of the leader to establish those values within the organization by stating them, restating them, and openly living them in words and deeds.* It is the leader's job to inspire co-workers, to take them beyond their everyday selves to a higher level of awareness, motivation, and commitment. The leader must also provide ongoing opportunities for staff to understand and "buy in" to the organization's values, as well as to review and revise them, as needed.

Lincoln shared, emphasized, and continually restated two fundamental values throughout his presidency: the pursuit of liberty and equality. He described the Civil War as the "people's contest," writing that "on the side of the Union it was a struggle for maintaining in the world that form and substance of government whose leading object is to elevate the condition of men [and women] . . . to afford all an unfettered start, and a fair chance, in the race of life." (Phillips 1992, 53).

Leadership historian J. M. Burns writes that Lincoln in his role as leader felt *the duty* to reach down to the person behind him or below him and help to elevate that person to his or her better self. Lincoln was one of those leaders who "perceive their roles in shaping the future to the advantage of groups with which they identify, an advantage they define in terms of the broadest possible goals and the highest possible levels of morality." (Burns 1978)

In many religions and philosophical teachings it is advised that we share: "[s]haring in all reactions, of all attitudes, of all types of wisdom, of all problems and difficulties and limitations, so that they become constructive in the group sense and cease to be destructive." (Haasnoot 2000, 44) In discussing the leader's role in creating a sharing environment among co-workers, Haasnoot emphasizes the importance of sharing information—both positive and negative—about the health and direction of the company and their individual status within it with staff. Citing Deepak Chopra's second spiritual law of success, he also asserts that

"[s]haring is a form of giving. Companies and leaders must give and receive in order to keep wealth and affluence." (Ibid., 45)

A program that has been frequently cited for its approach to sharing within a traditional corporate environment is the "Work-out" program at General Electric. The tremendous growth of the company in the last decade, as it became an increasingly global entity, created barriers as a result of distance between geographic locations, diversity of functions, and varying corporate structures. The GE leadership concluded that the best way to address the "no-man's land" that was developing between the divisions was to put people together from different units in a noncompetitive environment on a regular basis. A discussion of financial goals and achievements was consciously *excluded* from the meetings to place emphasis on creativity, discovery of new motivations, open exchange, and generation of open feedback.

In the "Workout" model, managers meet two full days a month with the leadership in "candid, face-to-face exchanges to resolve issues, share new ideas and projects, and identify new opportunities." At the end of their meetings, they go back to their divisions and share information with their co-workers. Within divisions, employees also meet regularly over a period of two days without the presence of supervisors or managers to resolve issues, share information, and learn from each other. On the third day of meetings they invite the managers to be present at their exchanges. The result of the regular open dialogues, according to Danzig, Haasnoot, and other leadership writers, has been the evolution of a unified global attitude in every corner of the corporation. Trust building, employee empowerment and engagement, elimination of unnecessary repetitive work, and the culture of an open, boundaryless workplace have all contributed to the organization's continued success and well-being (Danzig 2000, 36-7).

This chapter has discussed many methods of relationship building with co-workers that leaders can employ to promote ethical behavior and attitudes in the workplace. Perhaps the most important ingredient necessary to maintain trust is *deep confidence in the leadership*, confidence that they will do the right thing for the staff and for the health of the organization. When times are tough and unpopular decisions are necessary, what maintains the trust, therefore continuing to affirm the shared values of the organization?

EMOTIONAL BANK ACCOUNTS

An *emotional bank account* is a term coined by Steven Covey that describes the amount of trust that has been accumulated in a relationship. Like a financial bank account, the size of the account increases and decreases according to how much is deposited and how much is spent. Deposits are made through acts of courtesy, kindness, honesty, and promise keeping. Withdrawals occur when we show discourtesy and disrespect, ignoring and betraying trust. Implicit in the description is the suggestion that we should consciously seek to keep a large reserve on account so that when we make mistakes and behave badly, there is good will still available to take us through the negative phase without inflicting further damage (Covey 1989, 188-189). Leaders make mistakes. They are also forced by necessity to make choices that are detrimental to people within their organization. To sustain a high level of trust in an

organization, a leader requires many emotional bank accounts: with the managers, with the staff, with the clients, and with the organization as a total entity.

Covey describes six efforts that we can make in our relationships to build healthy emotional bank accounts:

1. *Understanding.* We can seek to understand individuals and groups so that we better understand what constitutes a deposit in their accounts. "One person's mission is another person's minutia." Deposits should be based on what is important to the individual or the group with whom we are dealing.
2. *Paying attention to the small things.* Little kindnesses and courtesies are important.
3. *Keeping promises.* Breaking promises and ignoring commitments constitute a major withdrawal from the emotional bank account. People build their hopes around promises and when they are broken, the level of trust is weakened.
4. *Taking the time to clarify expectations.* When individuals do not understand what is expected of them, they are uncomfortable in the relationship. When they misunderstand the role that they are meant to play, they may feel inconsequential, ignorant, or distrustful. In any new situation, it is important to spell out expectations and, in particular, to allow time for the differences in interpretation to be voiced and addressed before they create conflict.
5. *Personal integrity.* Integrity creates trust; lack of it will destroy the fabric of almost any relationship.
6. *Apologize when you are in error.* Sincerely apologize and express your regret when you make a withdrawal from the emotional bank account. A sincere apology can be a deposit in the account, although repeated apologies are eventually seen as insincere and are interpreted as withdrawals (Ibid., 190-199).

The leadership qualities that have been addressed—commitment, trust, ethics, integrity, and emotional bank accounts—are all what many consider *moral* qualities. What is the role of a leader in a spiritual or moral context? The concept of the "servant leader," as introduced in Chapter 1, is at the heart of any discussion of leadership values and integrity.

SERVANT LEADERSHIP

An examination of the effectiveness of the servant leader focuses upon the impact of the leader's actions upon the well-being of those served:

- C Are those served growing as individuals?
- C Are they healthier, wiser, freer, more autonomous, and more likely themselves to become servants?
- C What is the effect on the least privileged of society? Will they benefit or at least not be further deprived? (Spears 2001)

When a leader pays attention to values—makes values the "boss in the organization"—the organization and its people can flourish. It requires "implementing a "values-platform" by clarifying values, then communicating them and working diligently to align organizational actions and practices with them. Furthermore, it requires a rethinking of how we use power: we must learn the distinction between *power over staff* and *power with staff*. So much unethical behavior in the workplace results from poor use and abuse of power. Ideally, the servant leader creates the means by which there can be a reconciliation between what is good for the soul, good for the customer, good for the employee, and good for the health of the larger institution and yet still has viability in the marketplace (Ibid.).

In practice, the servant leadership concept is being applied in several areas: as a working philosophy for profit and not-for-profit organizations; as a model in management and leadership courses; and by independent consultants who work directly with companies to develop new organizational models. In its purest form, servant leadership advocates the power of persuasion and the seeking of consensus so that the mind of the servant leader and the needs of the employees, customers, constituents, and community, become the most important reason for the organization's existence.

CONCLUSION

The heartfelt desire to lead with fairness, justice, and integrity requires a strong commitment to knowing oneself and to living in accordance with a clearly established set of core values and principles. Stated simply, respect for one's self transcends to respect to and for others. While a leader must be flexible and open in numerous contexts so that the needs of his/her organization can be met most effectively, integrity is not a negotiable issue but must be adopted as a way of life. Becoming a leader with true integrity is never easy and the journey is filled with challenges, mistakes, and lessons along the way. But the rewards of ethical leadership with integrity cannot be measured, and the effects will live on long after the leader is gone.

Combining a solid foundation of ethics and integrity with flexibility in the face of challenges and problems is key for leaders in facing the everyday problems of organizational life. There are a multitude of solutions to every problem, and knowing how to choose the right one is a skill that can be developed and refined. In the next chapter, we will discuss an essential skill of leadership: creative problem solving.

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ABSTRACT

A strong leader must have the capacity and skills to anticipate, identify, solve, prevent, and learn from problems that occur in the work environment. Creative problem-solving skills require positive processes that incorporate strong communication skills, respect for all parties involved, and innovative approaches. When problems are viewed as "opportunities," the benefits for both leaders and staff can be highly positive.

LEARNING OBJECTIVES

Upon completion of this chapter, students will understand the following concepts:

- C Qualities of good problem solvers.
- C Positive communication skills and techniques that enhance problem solving.
- C Practical approaches to creative problem solving.
- C How do deal with difficult staff in problem situations.

INTRODUCTION

We are bogged down. We keep going over the same old ideas. We desperately need a new approach . . .

—Edward DeBono in *Six Thinking Hats*

Problems arise in any group or organization. The question is: What does a leader do with those problems? A leader can either react to problems and the resulting change or look ahead and visualize the future with creative problem solving. Effective leaders anticipate change and learn how to facilitate and manage it. A leader does not have to wait until problems come to him/her. Good leaders know to seek solutions before the problems land on the doorstep. "Individuals who get startled by the future," says Gary Hamel (2000), "weren't paying attention."

In *Leading the Revolution*, Hamel (2000) says, "You can, and must, regain your lost curiosity. Learn to see again with eyes undimmed by precedent." When leaders allow their assumptions and value judgments to get in the way, they stifle their own creativity and find themselves thinking predictable thoughts. In *Quantum Creativity*, Pamela Meyer (2000) states "Judgment paralyzes. Abstaining from judgment removes the obstacles to the natural and passionate flow

of your creativity. To free yourself of these chains, you need to fiercely confront your learned blocks."

When work is all-consuming, it is easy to lose perspective on the future and how to make it better. Keeping an open mind can be difficult when one works in a Crime Victim's Unit and has to respond to victims' immediate and crucial needs every hour. When a claims specialist with a victim compensation program must produce a certain number of claims per day, creativity may be the last thing on his/her mind. However, it is certain that whatever the individual is doing now will eventually change for one reason or another. Maybe claims aren't being produced fast enough to keep up with the demand, or perhaps more indictments each month result in more crime victims needing notification. New problems face leaders daily; the choice is either to be overwhelmed or to make solving the problems meaningful.

The way to handle change is to problem solve creatively—to be open to new possibilities and avenues that may not, at first, even seem plausible. "Thinking outside the box" may now be old news. Hamel (2000) says the leader should throw the box away altogether. Innovation is more than coming up with new ideas or assembling a creative business plan or a creative approach to a problem. Innovation is learning to see what is not obvious, developing a sixth sense for change, and being totally open to new thoughts and unconventional ideas.

Edward DeBono (1985), in *Six Thinking Hats*, states the concept simply: "We need creativity because nothing else has worked. We need creativity because we feel that things could be done in a simpler or better way. The urge to do things in a better way should be the background to all our thinking." He goes on to say that "there are times, however, when we need to use creativity in a deliberate and focused manner. It may be necessary to put forward provocative ideas that are deliberately illogical."

Unfortunately, leaders often find themselves surrounded by staff who may be complacent and comfortable with the procedures that are currently in place. The need to produce more work in a smarter, faster way is sometimes not the priority of the staff. Sometimes the priority of the staff is maintaining the status quo. Leadership then has to be not only innovative in solving the problem at hand but also creative in how s/he helps the staff to adjust to the new procedure.

Helping the staff to become comfortable and also to "own" the new procedures takes a great deal of energy, time, and finesse. Although in some businesses and organizations, this process may not work, in most, it will be advantageous to have the staff participate in the problem solving. Staff members, like crime victims, want to be heard. Most staff members do not expect nor demand to set policies or solve problems themselves. Usually they just want input and are most often understanding of the fact that management will consider their opinions, but not necessarily adopt them. However, if staff members are never consulted and their input is never considered, morale decreases and the feeling of working in a dictatorship begins to prevail.

It is also important to note that staff members themselves, if helped to tap their creativity, can be the best problem solvers since they are usually the ones doing the majority of the work.

They know the techniques, how long processes take, the types of interferences they usually experience, and all the other issues surrounding the jobs they do every day. However, when they are asked to become involved in the problem-solving process, it is oftentimes difficult for management to refrain from identifying barriers to each solution. Good leaders can help the creative juices begin to flow through themselves and their staff members by using certain techniques, as described below.

QUALITIES OF GOOD PROBLEM SOLVERS

In his book, *The 21 Indispensable Qualities of a Leader: Becoming the Person Others Will Want to Follow*, John C. Maxwell (1999) describes the five qualities of leaders with good problem-solving ability. They—

- C *Anticipate problems.* Problems are inevitable and good leaders anticipate them. Have a positive attitude but plan for the worst.
- C *Accept the truth.* Denying problems only prolongs the agony. Be willing to look at the issues honestly, accept responsibility, and move forward.
- C *See the big picture.* Have a vision of the future and be able to see where the organization can be in five or ten years. Do not be overwhelmed by emotion or bogged down with details. Have someone trustworthy ferret out the details.
- C *Handle one problem at a time.* Eat the elephant one bite at a time.
- C *Don't give up on a major goal when they're down.* See life as a roller coaster—sometimes up and sometimes down. Don't give up on the vision just because some glitches occurred.

A significant key to creative problem solving is the capacity and willingness to view problems or challenges from a new perspective and to seek innovation in exploring potential options.

TECHNIQUES FOR INNOVATION

Gary Hamel (2000) lists seven tips for becoming more innovative and regaining curiosity:

- C Be a novelty addict.
- C Find the discontinuities.
- C Search out under-appreciated trends.
- C Find the big story.
- C Follow the chain of consequences.
- C Dig deeper.
- C Know what's not changing.

Pamela Meyer (2000) extols the virtues of intuition as a way to become innovative. While many discount *intuition* for the more preferred *logic*, Meyer reminds us to get back in touch with our natural curiosity and allow ourselves to restore a "lively awareness of possibilities." Edward McCracken, Chief Executive Officer of Silicon Graphics, says, "The most important trait of a good leader is knowing who you are. In our industry very often we don't have time to think. You have to do all your homework, but then you have to go with your intuition without letting your mind get in the way." In order to treat intuition with respect, a leader must first learn to listen to it. Sometimes that small voice is trying to tell the leader something, but s/he is ignoring it. It is imperative that leaders learn to listen.

The more respected an individual is in his/her field, the more resistant s/he may be to listening. Formal education, research, experience gained from working for years, and information gathered from meetings and conferences all help when making decisions. But the most important information comes from within. Innovation needs an open door and an open mind.

PROBLEMS AS OPPORTUNITIES

Good leaders start with a plan and know that they need to be willing to throw that plan out at any time in response to a new discovery or idea. Life is full of changes that don't fit into the plan. A leader must be willing to dance with the change. If the leader resists it, the change will still persist in one way or another.

Viewing the problem as an opportunity to create new procedures that will improve service paints a positive picture and one that is a little more palatable to staff and clients. For example, the files in a large state's crime victim compensation program were taking up so much space that additional rooms were needed to hold them. In researching how to archive the files, it was learned not only that the files could be imaged onto disks that would be easily accessible, but also that the document imaging process could help the workflow which would eventually decrease the time it took to process claims from crime victims. The problem of space opened the door to an entirely new and faster system of processing claims.

When a problem presents itself, it can become an opportunity for staff in one section to learn more about the inner workings of another section. When departments or sections collaborate on problem solving, thus can learn about the problems each faces on a daily basis and they can better understand how their work affects the others. When one piece of the system changes, it can affect several other pieces. If staff members are not consulted in the problem-solving effort, changes can cause a great deal of resentment and make the management of the change much more difficult.

THE NEED FOR A POSITIVE APPROACH

If problems are approached from a positive point of view and are seen by the leadership as opportunities to review procedures and policies and to creatively adopt new ideas, the staff is more likely to also view the change from a positive point of view. For example, when the

administration decides to ask the staff to make their cubicles look more professional, the approach taken can be a positive or a negative one. The "spin" can make all the difference in whether the staff accepts the change or grumbles, complains, and fights.

If middle management takes the approach, "I don't like it either, but I'm just doing what I've been told so you have to make the change," staff are not likely to accept the change without grumbling. On the other hand, if the approach by middle management is positive and the changes are couched in a way that lets the staff know that they are professionals and that "our leadership encourages us to look and act our best at all times," staff may be more likely to accept the change.

Whether or not the organization works within teams, the leader can develop a "team" mentality by a positive approach. When staff members feel that they are a critical part of something bigger than themselves, they sense an importance to their jobs. They feel needed; studies have often shown that an individual's need for significant work ranks above the need for higher pay. Leaders who develop a team spirit can use that camaraderie to nurture employees and enhance productivity.

In *Supervising and Managing People*, several guidelines are offered to help improve staff spirit:

- C *Select people who are right for the organization.* Over time transfer or even let go people who tend to tear the team or the organization apart. Like a coach, the leader can't develop a winning team without having the right team members to put forward a coordinated, highly motivated effort toward an agreed-upon goal.
- C *Work to create a supportive environment for the team or staff.* The entire organization can reward cooperative, collaborative work methods.
- C *Challenge the team or staff to help the organization as a whole.* Team spirit thrives in an atmosphere filled with short-term assignments, medium-term goals, and long-term missions linked directly to the organization's health and survival. When the team or staff knows its work is important and valuable, each member tends to feel a stronger commitment level.
- C *Create a unique team or staff identity.* When a strong spirit and a good productivity level exist, people tend to carry the same goals and work toward them together.
- C *Encourage the team or staff to use its initiative and creativity.* Tackling problems and handling resources according to its own best judgment will boost the positive spirit.
- C *Make the team or staff accountable.* Part of taking responsibility for success is being willing to have effort measured and evaluated. The spirit of a team increases when members recognize that their contribution is a significant part of the success (First Books 1996, 27).

REFRAMING PROBLEMS

Having a positive approach to problems, big and small, creates an environment that is open, participatory, and creative. An essential part of a positive approach is the ability to view problems as opportunities for learning and growth, not disasters that must be avoided at all costs. The key to *reframing* problems in this way is "keeping your eye on the end of the matter." (Mackoff and Wenet 2001, 41) When problems are viewed as ends in and of themselves, they become larger than they are, more powerful than they are, and essentially isolated and removed from the underlying goals and objectives of the organizations. When the focus remains on the "end," e.g., the guiding values and principles articulated in an organization's mission statement, along with the end goal of the specific project or undertaking underway, then the problems become stepping stones that simply must be negotiated. They are lessons to be learned along the way and can have a tremendously beneficial and positive impact on the shaping of future actions and directions.

Esther Torres is the Director of the Community Development Corporation, an organization dedicated to assisting eighteen-to-twenty-year-old former foster youths in achieving constructive self sufficiency. Foster youths leave the system at the age of eighteen and suddenly experience a world in which they are on their own with no support of any kind; statistics show that this population has a 50 percent chance of ending up on the street within six months of coming of age (Ibid. 42). One of the programs developed by the Community Development Corporation is the HOME program in which the youths work in revitalizing dilapidated housing in east Los Angeles.

Ironically, Torres' grandfather left the troubled neighborhoods of east L.A., with his family, over six decades ago, in search of a more peaceful life in the rich farming regions of the San Joaquin Valley. Although he spoke no English and had little resources, in time he became one of the largest landowners and farmers in the valley. The lessons Torres learned from her farming childhood created the work ethic that guides her daily approach to the challenges she faces in helping the youths and neighborhoods to which she has returned.

Torres uses a farming metaphor in describing the opportunities for learning that present themselves with all challenges:

On the farm there are physical indicators that things don't work: The plant dies, the cotton doesn't grow. You can work with your heart and soul, and the season wipes you out completely. You don't unravel and wonder, Was it worth it? You ask, What is the lesson here? What can we do together so our time will be more productive? Where would we like to be in five years? And what are the avenues we can take to get there? (Ibid.)

Opening up the channels. Another farming metaphor used by Torres is "opening up the channels." Leaders utilize their vision in looking for new "channels" or solutions, or reframing existing channels to address particular problems. The leader's role is first to identify and then to ensure that the channels are addressing the problem:

When you are a farmer, unless you channel the flow of water to flow through the rows to nurture the trees or crops, they are not going to grow, and they are not going to bear fruit. you've got to channel that water. There could be water everywhere, but if it doesn't go to the right place, you don't have a crop. (Ibid. 43)

It takes openness and creativity to identify the channel that will best address any given problem faced by an organization. In Torres' creation of the HOME project, the particular channel she utilized was opening up the communication between two county agencies, the Community Development Commission and the L.A. County Department of Children's Services. These two agencies had never worked together, but through Torres' *opening up of the channels*, a new partnership arose that addressed significant community needs in a highly beneficial way. Housing was refurbished and made affordable, and youths with little odds for success were given opportunities and the tools for burgeoning self sufficiency.

EFFECTIVE AND ONGOING COMMUNICATION

Effective communication is key to any type of relationship—marriage, children, work. Miscommunications and misunderstandings often cause wasted time, hurt feelings, and negative outcomes. Ongoing communication between the leadership and the staff is one element in helping workers to feel that their jobs are significant and their job setting is comfortable.

As simple as it sounds, effective communication is not easy. Saying to staff, "I have an open door policy—come talk with me about anything" is wonderful, but it doesn't go far enough. Communication must flow freely and comfortably to bring about a positive and constructive workplace environment. It is invaluable for individuals to know that they can go to their supervisor with problems, concerns, or innovative ideas and be heard.

Staff members want to be heard. They have opinions that have been developed over time, based upon their cumulative work experience. They appreciate being asked to share their opinions. Most employees understand that the leader of an organization must make the final decision but having input is a huge morale booster.

Staff members also want to be informed. If a new policy is on the horizon, they want to know why it is needed, when it will be implemented, who will be implementing it, how their jobs will be affected, and so on. To hear about the new policy on the day it is being implemented is not effective communication. Offering staff a chance to provide input and to ask questions is the preferable way to communicate a new policy.

In *Win Win Management: Leading People in the New Workplace*, George Fuller (1998) explains that workers today are recognized as valuable contributors to fundamental decisions about how the job is to be done. Although it isn't always possible to achieve a consensus within the group, it is important that workers recognize that open discussions are encouraged and to know they will be heard, even though every employee suggestion cannot be implemented. As Fuller states, "After all, no matter how much teamwork and cooperation there is, the buck always has to stop somewhere. By the way, there is no requirement for

overall agreement in every workplace decision." He goes on to make the important point that employees themselves don't necessarily want to be decision makers. What they do want is to be a part of discussions that involve their jobs. This type of communication helps set the stage for workers to accept the changes that they may not agree with. Simply giving them input lets them know they contributed to the process.

Don't make the mistake of soliciting input when the decision has already been made. Employees usually know when the supervisor is manipulating a situation by pretending to receive input when in reality the decision has already been made.

An important follow-up to allowing employees to be heard is listening, and it is often a much harder task. Peter F. Drucker (1990) in *Managing the Nonprofit Organization* identifies listening as one of the basic competencies of a good leader. Drucker defines listening not as a skill but as a discipline and says good leaders have the willingness, ability, and self-discipline to listen. "Anybody can do it. All you have to do is keep your mouth shut." For most, that is much easier said than done. Listening sounds like an easy task, but few people really know how to listening effectively.

Often during social conversations, for instance, one or more of the people involved begin to look around the room or worse yet, turn away and begin talking to someone else. Leaders should take note of their listening skills and see if they need improving—then practice listening to their employees.

Besides face-to-face listening, there are other ways of "listening":

- C Hold staff meetings in which the differing of opinions is encouraged.
- C Hold small meetings; they are more conducive to allowing people to talk openly.
- C Request written comments or thoughts.
- C Keep a suggestion box with anonymous input.
- C Go individually to employees' offices to solicit input.
- C Periodically survey staff for their ideas and input (with anonymous responses, if desired).

ATTUNEMENT

Attunement is defined as listening in such a way that one learns from those one is leading (Mackoff and Wenet 2001, 125). It is important to never underestimate the impact of truly listening to another individual.

When Dr. Mitchell Rabkin took over as CEO of Beth Israel Hospital in Boston, his first official decision was somewhat unorthodox in the world of hospital administration—he abolished the doctor's dining room. In so doing, he sent a clear message to doctors concerning his expectations that they stayed "tuned in" to their fellow hospital employees as well as the

patients. It also conveyed his high regard for every individual in the hospital, regardless of position or status (Ibid.).

Being truly attuned to another individual allows the listener to begin to understand the experience of that individual in a way that may never have been possible before. Another policy instituted by Rabkin was to require first-year medical students to spend their first three days in the hospital wearing a nonmedical uniform and trying to do the job of someone in social services, housekeeping, or laundry. His goal was to show these students, from the very first moment of embarking upon their medical career, that the hospital depended on a multitude of individuals, some of whom are never heard or even acknowledged by the upper level medical staff. Equally important, it allowed them the opportunity to understand the point of view of other hospital staff members.

True listening is difficult, and like any skill, it must be learned and practiced. Leaders are constantly setting examples in the way they function and operate on a daily basis and the way they listen to others within their organization, no matter what level that person may be, has a tremendous impact on how well the organization will ultimately be able to achieve its goals.

THE BENEFITS OF LEARNING AND USING A MORE COOPERATIVE STYLE

THE SEVEN CHALLENGES TO COOPERATIVE COMMUNICATION SKILLS

Effective communications skills are essential to identify and resolve conflicts. In *The Seven Challenges: Cooperative Communication Skills Workbook and Reader*, Dennis Rivers (1999) identifies "the seven most powerful, rewarding and challenging steps" to connect with people:

1. *Get more done, have more fun.* Living and working with others is a communication-intensive activity. The better a leader understands others' feelings and wants, and the more clearly they in turn understand the leader's goals and feelings, the easier it will be to make sure that everyone is pulling in the same direction.
2. *More satisfying closeness with others.* Learning to communicate better involves exploring two big questions: "What's going on inside of me?" and "What's going on inside of you?". Modern life is so full of distractions and entertainments that many people don't know their own hearts, nor the hearts of others, very well. Exercises in listening can help a leader to listen more carefully, and reassure conversation partners that s/he really does understand what they are going through. Exercises in self-expression can help the leader ask for what s/he wants more clearly and calmly.
3. *More respect.* Since there is a lot of mutual imitation in everyday communication (She raises her voice; he raises his voice, etc.), adopting a more compassionate and respectful attitude toward conversation partners invites and influences them to do the same.
4. *More influence.* When the leader practices the combination of responsible honesty and attentiveness, s/he is more likely to engage other people and reach agreements that everyone can live with. The leader is more likely to get what s/he wants, and for reasons that won't be regretted later (Rivers, n.d.).

5. *More comfortable with conflict.* Because people have different talents, there is much to be gained by their working together, accomplishing together what no one could do alone. But because people also have different needs and views, there will always be some conflict in living and working together. By understanding more of what goes on in conversations, a leader can become better a team problem solver and conflict navigator. Learning to listen to others more deeply can increase the leader's confidence so that s/he will be able to engage in a dialogue of genuine give and take and thus be able to help generate solutions to problems that meet more needs.
6. *More peace of mind.* Because every action a leader takes toward others reverberates in minds and bodies for months (or years), adopting a more peaceful and creative attitude in interactions with others can be a significant way of lowering stress levels. Even in unpleasant situations, a leader can feel good about his/her skillful response.
7. *A healthier life.* In his book, *Love and Survival*, Dr. Dean Ornish (1998) cites study after study that point to supportive relationships as a key factor in helping people survive life-threatening illnesses. To the degree that a leader uses cooperative communication skills to both give and receive more emotional support, s/he will greatly enhance chances of living a longer and healthier life.

Learning to listen and communicate in cooperative and effective ways is key to uncovering one's own unique capacities for creative problem solving.

ACCESSING CREATIVE PROBLEM-SOLVING POTENTIAL

Just as one can learn to lead by accessing his/her own unique leadership qualities, positively inspiring and energizing those around him/her, so too can one learn to access his/her own potential for solving problems in ways that are constructive, innovative, and creative. Identifying and refining leadership style as well as utilizing positive approaches to identifying and solving problems are the keys.

IDENTIFYING PROBLEM-SOLVING STYLE

Problem-solving style is only one aspect of overall leadership style. However, problem-solving style can fit into the four categories of leadership style found in *Leadership and the One Minute Manager* by Ken Blanchard, Patricia Zigarmi and Drea Zigarmi (1985):

- C *Directing.* The leader provides specific instructions and closely supervises task accomplishment.
- C *Coaching.* The leader continues to direct and closely supervise task accomplishment, but also explains decisions, solicits suggestions, and supports progress.
- C *Supporting.* The leader facilitates and supports subordinates' efforts toward task accomplishment and shares responsibility for decision making with them.

C *Delegating*. The leader turns over responsibility for decision making and problem solving to subordinates.

Leadership in today's workplace requires a balancing act between knowing when to be assertive and when to step back and let employees solve the problem. "Cooperation and teamwork succeed best when employees are empowered to take responsibility for their work and to participate in oversight and guidance to keep everything in focus. The trick is to do so in such a way that you won't seem to be still making all the decisions." (Fuller 1998) There is a diplomatic way of getting an idea accepted without it being obvious. Fuller cites a situation in which several employees are trying to solve a problem. They are at a standstill when the supervisor decides to share his opinion. He does so very carefully and cautiously to let the group pick up on his idea.

Boss: " I got here late so you've probably already discussed this option, but what if we combined step 3 and 4 and gave Mary step 5. It seems like the workflow might be smoother that way."

Staff Member: "That's a good idea. We didn't discuss that possibility yet, but that might work. What do you all think?"

By being diplomatic, the supervisor avoids appearing dictatorial and doesn't assert his authority. On the other hand, when the problem-solving style of *directing* is used, the group will feel that lip service is being given to their suggestions and that in the end the supervisor will do what s/he wanted to do in the first place.

Problem-solving styles, like leadership styles, differ because problems are different and staff members are different. Each problem cannot be tackled in the same way, nor can each employee be treated the same. Each has his/her different style of working and each requires different responses from his/her supervisor.

THE PROBLEM-IDENTIFICATION PROCESS

(The following section is adapted from *Teamworks Module: Problem Solving* by Barbara O'Keefe, n.d., <www.vta.spcomm.uiuc.edu>.)

Groups that find themselves having difficulties solving problems might want to back up and try to determine if any of the difficulties stem from inaccurate assumptions about what group members perceive the problem to be. At this point, it may be helpful to follow the procedure outlined in *Problem-Solving Group Interaction* (Patton and Griffin 1973). While identifying the concerns of other group members may seem intuitive, many give up on the whole problem-solving process as soon as they realize that others don't seem to share their concerns. Patton and Griffin stress that there are many alternatives available to the group before abandoning its efforts, including:

1. *Identify possible concerns*. The leader should begin at the most obvious level and start by probing the others in the group to find out their orientation toward the problem. The key here is not to defend one's own concern as the most important, but to find out what the

issue means to the group, and explore other facets of the problem that may otherwise not have been considered. It is important to avoid taking sides this early in the discussion.

2. *Determine mutuality of concerns.* Ideally, the group will be able to identify one overarching concern as the most important. Realistically, this is not always the case. One should not take it personally if others have a different orientation toward the problem but rather appreciate that everyone has a different background and different life experiences that have significant bearing on how he or she is oriented toward a particular situation. If it is imperative for the group to reach consensus about what the one major concern should be, then it may be useful for members to stop here, and consider various conflict management tactics for compliance-gaining before proceeding with the discussion.
3. *Identify complementary goals.* Many groups can function quite productively even if mutual concerns cannot be identified. For example, if one can help others in the group achieve their goals while, at the same time, the group can help him or her with separate goals, then there is no reason to call problem-solving efforts to a halt. Many times, this can be a much more efficient strategy than dissolving the group and looking for others who share one's one particular concern.
4. *Identify superordinate goals.* If the group decides it can't help each other achieve their own goals separately, there is another alternative before giving up. Members should look for superordinate goals by broadening their perspective to include the concerns of others beyond one's own particular concern. While this is very similar to identifying complementary goals, there is an important psychological difference between the two: In identifying superordinate goals, one is willing to accept others' concerns as his or her own, and work to resolve them in addition to any other concerns he or she has. The key is that others' needs actually become one's own as well. While time and resources may make it impossible to take on everyone else's needs, the group may be able to reap greater benefits than was possible otherwise by making this commitment to multiple goals.

REFLECTIVE PROBLEM SOLVING

(The following section is adapted from *Teamworks Module: Problem Solving* by Barbara O'Keefe, n.d., <www.vta.spcomm.uiuc.edu>.)

No decision-making team follows exactly the same procedure for solving problems as another team. Regardless of how leaders and staff members approach a problem, however, most effective decisions are reached by performing certain functions. Reflective problem solving emphasizes the importance of basic tasks:

- Defining concepts.
- Identifying needs.
- Identifying and evaluating solutions.

Groups using reflective problem solving cover these key tasks. From this perspective, there are five key sub-tasks involved in problem solving:

1. *Defining the problem.* The leader makes a list of resources—people, books, Web sites, etc.—that have some connection to and information about the problem. The leader then uses these resources to clarify any unfamiliar terms or concepts, and to clarify for the group what s/he understands the problem to be. At this point, the leader is looking for symptoms—the evidence that a problem exists—not causes of the problem.
2. *Analyzing the problem.* After the group has discussed the evidence for the existence of the problem and defined what the problem is, the leader turns his/her attention to analyzing the evidence more thoroughly, looking for relevant data that may explain why the problem exists, evaluating the data collected and the sources of the data.
3. *Establishing criteria for evaluating solutions.* The leader sets an objective with the group that all proposed solutions should strive for. Based on the definition of the problem and analysis of its cause(s), this objective should be the one specific goal that any acceptable solution should attain. If the problem is too complex to set only one objective, another way is to make a list of *musts* and *wants*. "Musts" are those basic requirements without which the solution will be unacceptable. "Wants" are those qualities that are desirable in any solution, and should be prioritized from "most desirable" to "least desirable." A "musts" and "wants" checklist may help the group maximize the effectiveness of any solution without omitting any essential requirements.
4. *Proposing solutions.* After the leader has established some basis for evaluating solutions, he/she can try brainstorming solutions (see the "Brainstorming" section of this chapter for additional information). From the list of solutions that emerge from the brainstorming session, the leader develops a realistic range of solutions and selects the one that best fits needs according to the evaluation criteria.
5. *Taking action.* The leader writes an action plan that details the steps and the resources needed to implement the solution.

How the group performs these necessary problem-solving tasks is incidental, as long as each function is addressed. Some groups find it helpful to follow a more detailed and systematic procedure for problem solving to help keep them focused. If the group is having difficulty staying on track, following the above step-by-step process may help reach the goal more efficiently and effectively.

CONFLICT-BASED PROBLEM SOLVING

(The following section is adapted from *Teamworks Module: Problem Solving* by Barbara O'Keefe, n.d., <www.vta.spcomm.uiuc.edu>.)

Many problems that groups face are complex and ambiguous, and so there may be several possible alternative solutions. These problems require a thorough examination of both the assumptions and inferences that underlie them and their solutions. In this situation, many managers and strategic planners use two important conflict-based problem-solving techniques: *dialectical inquiry* and *devil's advocacy*.

Such conflict-based problem-solving models stress critical evaluation over group harmony. While group morale and interpersonal relations are always at some risk whenever individuals

engage in conflict, many problem-solving teams find that structured conflict can yield high quality results.

Dialectical inquiry. In the dialectical inquiry process, the team uses the same set of data to make two separate and opposing recommendations, and then formally debates these recommendations based on the assumptions that were used to derive them. The philosophy behind this method is that a clearer understanding of the situation and an effective solution result when the assumptions underlying each recommendation are subjected to intense scrutiny and evaluation. (Refer to Appendix C-2 for an interactive exercise).

Devil's advocacy. Much like dialectical inquiry, the process of devil's advocacy for problem solving and decision making relies on structured conflict to ensure a high quality decision. A solid, well-supported argument is made for a set of recommendations and then subjected to a grilling evaluation by another person or sub-group. Those who use devil's advocacy assume that only the best plans will survive such extensive censure. (Refer to Appendix C-3 for an interactive exercise).

Using conflict effectively. In both dialectical inquiry and devil's advocacy, structured conflict is central to understanding the soundest recommendations and the assumptions that underlie them. There is, however, always risk involved when individuals engage in conflict, and therefore it is important to develop the right attitude for conflict activity.

- C First and foremost, don't be afraid of conflict! Remember that this is a structured debate. While the leader will have to either give or receive criticism, s/he does not have to be confrontational and antagonistic to do it.
- C Remember that critical evaluation is the crux of conflict-based models of problem solving. Don't mistake legitimate criticism for a personal attack.
- C Refrain from basing criticisms on the character of another group member. In other words, keep the focus on the recommendations themselves, not who made them or why.
- C Always keep in mind that the goal of subjecting recommendations and assumptions to an intense critique is to develop better ones, and to ensure that the team's plan will ultimately be able to survive the same sorts of critiques from outsiders. Strive for quality.

CREATIVE PROBLEM SOLVING

(The following section is adapted from *Teamworks Module: Problem Solving* by Barbara O'Keefe, n.d., <www.vta.spcomm.uiuc.edu>.)

Many teams find that a more creative, less rigid approach to solving problems often yields the highest quality solution. However, the leader needs to understand what factors make creative thinking work best. Creative thinking, otherwise known as the "association of ideas," is the process by which imagination feeds memory and knowledge to cause one idea to lead to another.

Requirements for creative thinking. The key factors that influence team success in any creative thinking session are:

- C *Suspend judgment.* By far the most important characteristic of effective, creative problem solving is to have an open mind. The leader and the team should work on creating a supportive environment where judgment and criticism are not permissible. These qualities stifle creativity.
- C *Self-assessment.* In order to develop a more open mind, it may help to determine tendencies to cling dogmatically to ideas and opinions.
- C *Develop a positive attitude.* Have enthusiasm and optimism for all ideas, even if they seem wild and unrealistic. Develop an attitude that all ideas are good ideas; cynicism will only inhibit creative thinking.
- C *Use checklists.* The team should write down *every* idea, no matter how far-fetched it might seem. It sends the message to the team that everyone’s ideas are valued, helping to create a supportive environment. Recording all ideas ensures that nothing important is forgotten, and gives the team an opportunity to go back and combine parts of one idea with parts of another, letting ideas feed off each other.
- C *Be self-confident.* Remember that many of the world’s greatest ideas were ridiculed at first. Have faith in creativity! Some of the most basic scientific principles, such as "the earth is round and revolves around the sun," never would have been advanced without the confidence and courage to go against the grain.
- C *Encourage others.* Praise and encouragement are the fuel for creativity. It enables ideas to flow freely and motivates team members. Instead of criticizing or rejecting an idea, offer praise and encourage the team to "keep up the good work!".

The creative thinking process. *Figure 1* summarizes the stages of creative thinking. These stages resemble the steps in the reflective approach to problem solving, with adjustments to encourage creativity and exploit brainstorming:

STAGE	PROBLEM-SOLVING TASK
Orientation	Setting the stage for creative thinking.
Preparation and analysis	Gathering data and determining relationships among facts.
Brainstorming	Generating possible solutions.
Incubation	Taking a break to encourage illumination.
Synthesis and verification	Combining ideas and testing the solution verification.

Figure 1

- C *Orientation*. This step sets the stage for a productive session, i.e., making sure all the necessary requirements for an open and creative group process are available.
- C *Preparation and analysis*. This stage is primarily devoted to fact finding. While gathering facts is important, it is necessary to gather only those facts that will serve to further creative thinking. Getting bogged down in too many details may actually restrain creative thinking efforts. There will be time later to go back and fill in needed facts.
- C *Brainstorming*. The philosophy behind brainstorming is that the more ideas there are on the table, the more likely it is that a suitable solution will emerge. This stage is a "freewheeling" exchange of ideas to list all possibilities.
- C *Incubation*. Incubation is the "time-out" stage of the process in which group members disperse for a period of time to let ideas grow and to encourage "illumination" of the correct solution. While a time-out may not always be practical for every problem-solving initiative, it is nonetheless considered an important part of the creative process so as not to shortcut creativity by overworking the mind.
- C *Synthesis and verification*. Out of all the possibilities the team has generated during its brainstorming session, the ideal solution should be a combination of the best qualities of each idea. While during the orientation and analysis phases of the process, the team's job was to break apart the problem, the task at hand now is to construct a whole out of the ideas generated by brainstorming.
- One good way to do this is to make a list of all the desirable qualities or disadvantages that a solution might have, and then rate each idea accordingly. Each quality or disadvantage can be weighted in terms of its importance, or applied without weighting. The idea with the best overall profile is then identified.
- C *Verification* is the final phase, and requires testing the solution the team has chosen to see if it achieves all of the team's goals.

SWOT ANALYSIS

(The following section is adapted from "SWOT Analysis," 2000, Mind Tools Book Stores, <www.mindtools.com>.)

One of the easiest and most effective approaches to identifying problems, as well as potential solutions, is through SWOT analysis. Often utilized for organizational strategic planning, the SWOT process helps identify *strengths* and *weaknesses* as well as the *opportunities* and *threats* an individual or organization faces.

The SWOT process is accomplished through individual thinking and reflection, followed by group discussion and brainstorming. A SWOT analysis seeks answers to the following questions:

- C *Strengths*.
- What are the leader's advantages?
 - What does s/he do well?

Answers to these questions should take into consideration the points of view of both the leader and the people with whom s/he works. The leader should not be modest, but realistic. If there is difficulty with these questions, listing the leader's characteristics or those of the organization may be helpful. Some of the characteristics will be strengths.

C *Weaknesses:*

- What could be improved?
- What is being done badly?
- What should be avoided?

Again, this should be considered from an internal and external basis. Do other people perceive weaknesses that the leader doesn't see? It is best for the leader to be realistic and face any unpleasant truths as soon as possible.

C *Opportunities:*

- Where are the good chances facing the leader?
- What are interesting trends?

Useful opportunities can come from changes in:

- Technology and markets on both a broad and narrow scale.
- Government policy related to the field.
- Social patterns, population profiles, lifestyle changes, etc.
- Patterns of clientele or constituents.
- Support systems, such as human or financial resources.

C *Threats:*

- What obstacles does the leader face?
- If there is competition, what are they doing?
- Are the required specifications for the agency, job, or services changing?
- Is changing technology threatening the leader's position or the program?
- Are laws or policies perceived to be detrimental?
- Are there have concerns about funding?

The SWOT analysis is an effective tool in any democratic organization and one that a leader can effectively use to move into a more in-depth problem-solving or brainstorming session with input from all participants.

BRAINSTORMING

Nearly every individual has the capacity and skills to brainstorm. Consider for a moment a hot summer day from early childhood. All of the neighborhood kids are bored and looking for something to do. The kids begin to suggest what they can do—some ideas are rejected, others accepted. This is "brainstorming."

Brainstorming is a group process to develop creative solutions to problems. Through brainstorming, participants "push the envelope" on creative approaches. No idea is a "bad idea"; every idea is welcome. A solution is generated from the best idea or a combination of ideas.

The following rules are important to successful brainstorming (adapted from <www.mindtools.com> January 2001):

- C A leader should take control of the session, initially defining the problem(s) to be solved or issue(s) to be addressed with any criteria that must be met, and then keeping the session on course. He or she should encourage enthusiastic, uncritical participation by all members of the team. The session should be announced as having a fixed length of time, and the leader should ensure that no train of thought is followed for too long. The leader should try to keep the brainstorming on subject, and should try to steer it toward the development of some practical solutions.
- C Participants in the brainstorming process should come from as wide a range of disciplines—with as broad a range of experience—as possible. This brings many more creative ideas to the session.
- C Brainstormers should be encouraged to have fun, coming up with as many ideas as possible, from solidly practical to wildly impractical, in an environment where creativity is encouraged and welcome.
- C Ideas must not be criticized or evaluated during the brainstorming session. Criticism introduces an element of risk for a group member in putting forward an idea, and may dissuade others from participating. This stifles creativity and cripples the free-running nature of a good brainstorming session.
- C Participants should not only come up with new ideas, but also "spark off" other people's ideas.
- C A record should be kept of the session—minutes, tear sheet notations, or a tape recording.
- C Individual worksheets should be provided for participants to record their ideas prior to sharing them with the group. This approach is helpful for creative people who are somewhat shy in public venues, and can also provide useful data that may not be shared with the full group due to time limitations.
- C The group's ideas and findings should be subsequently studied for evaluation.
- C Findings or outcomes from the session should be shared with all participants.

Individual versus group brainstorming. Brainstorming can be carried out by individuals, groups, or both:

- C Individual brainstorming tends to produce a wider range of ideas than group brainstorming, but tends not to develop the ideas as effectively, perhaps because individuals on their own

run up against problems they cannot solve. However, individuals are free to explore ideas in their own time without any fear of criticism or domination by other group members.

- C Group brainstorming develops ideas more deeply and effectively. When difficulties in the development of by one person's idea are reached, another person's creativity and experience can be used to break them down. Group brainstorming tends to produce fewer ideas (as time is spent developing ideas in depth), and can lead to the suppression of creative but quiet people by loud and uncreative ones.
- C Individual and group brainstorming can be mixed, perhaps by defining a problem, and then letting team members initially come up with a wide range of possible solutions. These solutions could then be enhanced and developed by group brainstorming (<www.mindtools.com> January 2001).

Establishing ground rules for brainstorming sessions. All participants should be given an understanding of what is expected of them, and what types of behavior(s) are unacceptable. While ground rules should be established by *all* members of the group at the beginning of the brainstorming session, there are some general ground rules for consideration:

- C No idea is a bad idea or, conversely, every idea is a good idea.
- C Everyone is encouraged to participate, but nobody is encouraged to over-participate at the expense of others.
- C Individual work sheets will be provided, utilized, and collected to ensure that every idea is captured.
- C Building on ideas from others is helpful.
- C Repetition of and/or repeating ideas is okay.
- C Ideas will be captured (on tear sheets, by a note taker, or by an audio or video recording).
- C All participants should respect other participants' ideas, even if they disagree with them.
- C People should not interrupt others when they are speaking.
- C Breaks will be taken when a consensus is reached that one is needed.
- C The time line for the session is (number of minutes or hours).
- C A summary of focus group findings will be provided to all participants by (person responsible) by (deadline).

While many of these ground rules may appear to be obvious and simply good common sense, it is extremely important to articulate ground rules at the outset of a group process. The buy-in by the individual group members and recognition of that fact by the group as a whole is the foundation for sticking to ground rules and engaging in a truly constructive and creative group session.

DEALING WITH THE CHALLENGE OF "STAFF INFECTION"

One result of poor communication is rumors. When staff members are not informed of what is going on within the organization, they sometimes create their own version of the truth. This can happen even when the leader thinks s/he has communicated very well.

Sometimes the rumors are not caused by a lack of communication but are the result of a personality problem within the office. In many offices anyone can tell without hesitation who the office gossip is and who starts the frequent rumors. Often these rumors, having no basis in fact, can cause a great deal of disruption.

When miscommunication occurs, employees are usually hesitant to go directly to their supervisor to clear up the matter. Instead some employees will go to every other employee to discuss the misinformation and get his/her opinion. When this type of behavior occurs, the flow of effective communication is disrupted and other side effects begin to occur. For example, the office gossip overhears the supervisor complaining about the time it is taking a project to come to completion. The gossip goes to the employee who is handling the project and tells him/her—confidentially—about overhearing the boss say he was dissatisfied with the employee's work. The gossip will couch the overheard comments in negative terms and make the employee feel that it would be impossible to go to the boss and ask him to share his concerns directly.

What then follows is an "infection"—employees think the boss talks about them behind their backs, is never satisfied with anyone's work, and so on. Without any clear communication, employee dissatisfaction increases and eventually results in people taking sick leave, resigning to take other jobs, and showing other signs of overall unhappiness.

"Staff infection" may also be seen when a new policy is implemented but is not acceptable to the staff. One disgruntled employee can stir up others to such a degree that soon no one is on board with the new procedures and everyone is "infected" with a negative attitude that eventually causes the downfall of an otherwise healthy organization.

Although "staff infections" can occur over any issue, not just policy changes, some employees are just resistant to change. They are not deviant, just set in their ways.

Workers resist changes within the workplace for many reasons (these are addressed more fully in Chapter 5, *Essential Skills for Leaders: Facilitation of Change*). Some employees resist *all* changes and cannot be persuaded to accept anything new. Sometimes a leader doesn't even realize that s/he is dealing with this type of person until s/he has done everything within his/her power to help the employee accept the change(s). In other instances, the employee makes it clear right up front that s/he plans to continue in the old pattern. George Fuller (1998) states that apart from outright insubordination, this situation presents an additional challenge: one employee can negatively affect other employees who aren't particularly enthusiastic about the new procedure either. Fuller recommends the following techniques

when a leader has to deal with an individual who adamantly resists doing something differently:

- C Confront the individual in a calm and reasonable manner to determine his/her objections to the change that's being made.
- C Challenge the reasons given for not accepting the change. Don't let excuses as to why the individual won't comply go unanswered. Otherwise, the employee will take this as agreement with his/her position.
- C Give the employee explicit directions that the change must be complied with.
- C After allowing time to comply with instructions, confront the worker if there is noncompliance. State calmly but firmly that further refusal to perform the work in accordance with the new procedures will be grounds for possible disciplinary action.
- C Keep the boss posted about the problem if it appears that disciplinary action may become necessary. It also makes sense to coordinate with the Human Resources personnel to be certain the correct procedures are followed in terms of disciplinary actions in general and termination of the employee in particular.

EARLY DETECTION, IDENTIFICATION, AND PREVENTION OF POTENTIAL PROBLEMS

Being aware of the circumstances that are likely to bring about morale and system problems is the first step of a good leader. Recognizing that there are many issues that cause morale problems and learning when the organization is experiencing one (or more) is helpful in preventing future problems. For example, if a non-profit agency loses grant funds, workers are likely to begin worrying about the security of their jobs. Even though the supervisor may know that the lack of funding will not affect the salaries, the staff may not know that. Often, in a political setting, a new administration will make massive changes. A good leader will recognize that employees may become concerned about their job security after the elections. When a colleague is terminated, other staff may become nervous about what is expected of them; tensions increase. Maybe workloads are increasing. Even a change in the number of holidays has caused dissension in the ranks.

Early detection of the problem can be very difficult. Sometimes a rumor gets back to the supervisor and, although not true, can alert the supervisor that there is a problem. Sometimes it is an employee who feels comfortable talking to management who brings the problem to the attention of those in charge. If this is the case, involving the employee in resolving the dilemma promotes the type of cooperation the leader hopes to foster.

Fuller (1998) says that there are a number of practical benefits from having employees bring bad news to the leader's doorstep:

- C Prevents minor problems from becoming major ones.

- C Allows remedial action such as providing additional training.
- C Encourages employees to take risks without fear of criticism.
- C Promotes cooperation with subordinates.
- C Prevents unpleasant surprises because s/he wasn't informed.
- C Minimizes damage by allowing prompt action to prevent repetition.

To accurately identify the problem, the leader must have input from more than one person. Those involved must be able to communicate the problem and discuss it openly to reach a resolution. A leader must not fall into the trap of allowing employees to come with confidential information that they want the leader to have but then ask him/her not to act on the information. This ties the leader's hands and frustrates everyone.

If the problem is a one employee who is continuously causing trouble, deal with him/her swiftly and within the guidelines created by the Personnel Policies and Procedures. Document, document, document! Be prepared to handle the situation, not ignore it. It won't go away! The problem employee will cause even more trouble as s/he continues to affect co-employees; the problem employee must be handled swiftly and according to policy.

If the leader detects a problem, one of the first actions to take is to bring the problem to the attention of his/her boss. This isn't easy, since it is always hard to bring any form of bad news to the boss. The leader may feel uneasy due to a fear that the boss will think this is something the leader should be able to handle him/herself. However, most likely, the leader's good judgment will help him/her decide which issues warrant going to the boss, and the boss will appreciate being kept informed. It may be that upper-level management policy is causing a morale problem. But since morale can destroy not only productivity but also eventually, the essence of an organization, the problem should be brought to the attention of the boss.

PREVENTION OF THE PROBLEM

Some problems can't be prevented. The leader should not feel guilty thinking s/he could have prevented a disaster that occurred in the past. Some people are simply devious and the problems associated with those people are unavoidable.

However, the leader can prevent additional problems and prevent prolonging the agony of certain situations. How? There are several techniques the leader can master:

- C *Recognize the problem.* The leader must stop denying what s/he senses, listen to intuition, and face the facts. An employee is negatively influencing the work environment. Take off the rose-colored glasses and deal with the harsh reality that people like this do exist. Stop asking "How could someone be out to get *me*?" "What have I ever done to deserve this?" The leader must realize that the situation is not about logic or fairness and that it is time to face the fact that a problem exists that must be dealt with swiftly and fairly.

- C *Look for an alternative placement for the problem employee.* The leader may uncover a perfect solution that suits the leader, the problem employee, and everyone else. Perhaps the problem employee could be moved to another department, another floor, another agency. Make the move into a positive one but without it becoming a promotion. If co-workers sense that a problem employee received a promotion to get him/her out of the way, the wrong message is sent.
- C *Eliminate the position.* Eliminating the position means the leader doesn't have to be the bad guy and fire someone.

Other prevention techniques.

- C *Keep communication lines open.* As already mentioned, clear and frequent communication with staff is the best way to prevent problems. Trust develops between leader and staff when they know the leader has nothing to hide.
- C *Ask for staff input and seriously consider their suggestions.* A trouble-maker who complains that the boss never listens will not gain much sympathy from co-workers who know otherwise.
- C *Develop a screening process when hiring employees that helps distinguish emotionally healthy workers from those with personality disorders.* Talk with other Human Resource people whose main job is to screen potential employees. Talk to therapists who know how to quickly recognize personality disorders; they can help develop evaluation skills so that potential problems might be a little easier to recognize.
- C *Steer clear of developing friendships with staff members.* Keep the lines clear between employer and employee. The respect that is shown to the leader can dissipate when s/he becomes social friends with employees.

WHEN PROBLEMS ARE OUT OF CONTROL

There are two things to remember when discussing out-of-control problems. They may actually be out of control *or* they may simply feel out of control.

When problems are truly out of control, whether a result of personnel difficulties, workflow difficulties, policy complications, or a variety of other issues, time is of the essence. The worst action a leader can take is no action. When the person in charge does nothing but sit and think about the situation for weeks or months, the problems don't get solved *and* staff morale drops.

The leader should do something, even if it doesn't totally solve the problem. S/he takes action and lets the staff know that s/he is in control and accepts responsibility for the outcome. For the staff to know that someone has taken charge and is in control can be a huge step towards preventing panic and confusion.

A leader pulls together a team to help problem solve. It takes more heads than one to solve major problems. The added benefit to the leader is that the staff feel that their opinions are worthy of consideration. Use their creativity to solve the problem.

Problems may simply *seem* out of control. Pamela Meyer (2000) describes what she terms "chaos." Her advice? Embrace chaos. Her premise is that positive organizational transformations and individual growth cannot happen without chaos. Much opportunity is found within the midst of chaos. Leaders must be open to change, and therein lies the problem. Because leaders tend to hang on to their illusions of control and stability, they often view chaos as disorder and lack of control.

Meyer (2000) says that two of the most important aspects of chaos are persistent instability (constant, unpredictable change) and self-organization (integrity maintained in the midst of change). "Chaos is persistent instability." When a great deal of time and energy is spent resisting chaos, chaos is allowed to continue. When chaos is viewed as an opportunity to grow, the problem takes on a positive feel. In a self-organizing system the events that challenge the status quo are, in fact, the most useful to its evolution and the things that came along unexpectedly become not something to overcome, but the most important part of the process.

Staff need to understand the concept that growth comes from chaos and that problems within the organization are to be expected and can be an opportunity to make positive changes. The benefits to the leader of taking time to help staff understand his/her view are tremendous.

CONCLUSION

"Life without problems" might appear to make the leader's job simpler and less stressful. However, as this chapter has emphasized, a leader can *learn* and *grow* from the problems that arise on the job, and utilize each challenging experience to hone his/her leadership skills.

As one long-time victim advocate notes, "A passion for problems has given me tremendous passion and insights into the difficulties and challenges that *crime victims* face on a daily basis. My skills as a problem solver help me as a leader in my field but, perhaps more important, they help my colleagues and me to achieve our fundamental goal of helping victims better recognize and address the many problems that result from personal victimization."

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ABSTRACT

Strong, positive working relationships are essential to both leaders *and* the organizations they lead. Collaboration and partnerships with allied professionals and community members who share concerns about victims' rights and assistance contribute to the success of the discipline as a whole. The capacity to build and strengthen team initiatives that assist victims and promote public safety—both within and without an organization—is a crucial skill for leaders in this field.

LEARNING OBJECTIVES

Upon completion of this chapter, students will understand the following concepts:

- C Distinguishing features of the four types of working relationships, and challenges to successful working relationships.
- C Guidelines for successful collaboration to promote victims' rights and services and public safety.
- C Practical approaches for building, implementing, and evaluating team initiatives.
- C Characteristics of high-performing teams.
- C Characteristics of a strong team leader.

INTRODUCTION TO WORKING RELATIONSHIPS

Let us not be blind to our differences, but let us also direct attention to our common interests and the means by which those differences can be resolved. And if we cannot end now our differences, at least we can help make the world safe for diversity.

— John F. Kennedy, 1963

There are many phrases utilized in the victim assistance community to describe efforts that bring people together with a common cause. George Keiser of the National Institute of Corrections (1998) describes these terms and their meanings:

Some recurring words are often used in a very cavalier fashion to describe types of working relationships. It is important to be clear about the depth of involvement contained in the meaning of these various words, and then to use the appropriate word for the relevant circumstances.

These words include cooperation, coordination, collaboration, and partnership.

COOPERATION

Cooperation does not require much depth of relationship from the parties involved. Typically, a couple of people identify how what they are doing in their organizations would benefit each other. They agree to share what they do, but are not required to do anything differently. The activities engaged in are very informal. No resources are transferred, and the life of those involved goes on much as it has. This may be the initial point of developing relationships between the involved organizations. A key element for initiating cooperation is personal trust.

COORDINATION

Like cooperation, the depth of involvement between organizations is not required to be great. The relationship tends to be more definitive with specific protocols or conventions commonly being established. The business of the various organizations does not change significantly. The number of people involved in the process is increased, and the participants are more cognizant of how their independent activities can be integrated for common benefit, or can influence the work of another organization. This level of working together requires more discipline and more formal structure in following the established protocols. The importance of integrity of the various participants and their activities becomes more apparent.

COLLABORATION

Collaboration introduces the concept of organizations coming together to create something new, commonly a new process. Generally, the organizations bring a business they already know well and identify how, by joint actions, they can redesign a process to their mutual benefit. There must not only be trust and integrity as a foundation, but the parties now need to understand the perspectives of the other collaborators' self interest(s). This understanding suggests a greater depth of involvement between organizations. It is not merely exchanging information, but developing a sense of awareness for whom the other parties are, what motivates them, and what they need out of working together. Unlike cooperation or coordination, for the first time something new is being developed through the relationship of organizations. Even with the increased intensity of involvement, the various organizations retain their independent identities.

PARTNERSHIP

Partnership is the bringing together of individuals or organizations to create a new entity. This may be the extreme extension of collaboration. The depth of involvement is reflected by a commitment referred to as ownership. No longer are there independent organizations agreeing to work together on some initiative as long as it is convenient. Nor is this a group of organizations buying into someone else's plan. With a partnership, there is an agreement to create something new which, through joint ownership, requires that the partners make it succeed. One measure of success is whether the partnership makes all the partners successful.

DISTINGUISHING FEATURES OF COOPERATION, COORDINATION, AND COLLABORATION

While the words "cooperation," "coordination," and "collaboration" are often used interchangeably, there are features that distinguish notable differences between both the words and their applications. A summary of research on factors that influence successful collaboration, developed by Martin Blank (1992), is included in *Figure 1* below:

	COOPERATION	COORDINATION	COLLABORATION
VISION AND RELATIONSHIPS	Based on individual relationships that may be mandated by a third party.	Individual relationships are supported by the organizations they represent.	Commitment of organizations and their leaders is fully behind their representatives.
	Organizational missions and goals are not taken into account.	Mission and goals of the individual organizations are reviewed for compatibility.	Common mission and goals are created.
	Interactions occur as needed and may last indefinitely.	Interaction is usually around one specific project or task of definable length.	One or more projects are undertaken for longer-term results.
STRUCTURE, RESPONSIBILITY, AND COMMUNICATION	Relationships are informal; each organization functions separately.	Organizations involved take on needed roles, but function relatively independently of each other.	New organizational structure and/or clearly defined and interrelated roles that constitute a formal division of labor are created.
	No joint planning is required.	Some project-specific planning is required.	Comprehensive planning is required that includes developing joint strategies and measuring success in terms of impact on the needs of those served.
	Information is conveyed as needed.	Communication roles are established and definite channels are created to facilitate interaction.	Many levels of communication are created beyond those needed to merely promote interaction, as clear information is a keystone of success.
RESOURCES AND REWARDS	Resources are separate, serving the individual organization's needs.	Resources are acknowledged and can be made available to others for a specific project.	Resources are pooled or jointly secured for a longer-term effect that is managed by the collaborative structure.
	Rewards are mutually acknowledged.	Rewards are mutually acknowledged.	Organizations share in the products; more is accomplished jointly than could have been individually.
AUTHORITY AND ACCOUNTABILITY	Authority rests solely with individual organizations.	Authority rests with the individual organizations, but there is coordination among participants.	Authority is determined by the need to balance ownership by individual organizations with expediency to accomplish purpose.
	Leadership is unilateral and control is central.	Some sharing of leadership and control.	Leadership is dispersed and control is shared and mutual.
	All authority and accountability rests with the individual organizations, which act independently.	There is some shared risk, but most of the authority and accountability falls to the individual organizations.	Equal risk is shared by all organizations in the collaboration.

Figure 1

BEYOND TRADITIONAL COLLABORATION

In issues affecting crime and victimization, there are several conventional stakeholders: crime victims, service providers, and juvenile and criminal justice officials and agencies (from law enforcement through the appellate process). Today there are new and exciting partnerships forming between victims, their allies, and disciplines whose foci include issues relevant to crime and victimization. Victim advocates need to closely evaluate *exactly who resides in the orbit around victimization*. These partnerships, while surprising in some cases, offer new, important alliances in the fight against crime and efforts to aid victims. They are identified below:

- C *Members of the clergy* are often the professionals to whom victims turn following the crisis of victimization. As such, clergy members are important partners in any effort that seeks to help victims cope with trauma and loss. For example, clergy members were key partners in the Colorado-Oklahoma Resource Council (CORC) that was created to assist and support victims who attended the Oklahoma City bombing/murder trials in Denver, Colorado in 1998.
- C *Mental health and public health professionals and agencies* possess expertise and resources that can assist victims of crime. When violence was cited as a major public health concern by the Surgeon General, a variety of partnerships emerged that combined the knowledge and practical experience of health professionals with that of professionals in public safety and victim assistance. In 1998, the Centers for Disease Control provided a five-year grant to a consortium of mental health and victimology researchers and practitioners to form the National Violence Against Women Prevention Research Consortium. The Consortium fosters interdisciplinary research and resources among researchers, practitioners, criminal justice agencies, and public health officials.
- C *Public policy makers* have historically had a significant role in effecting changes in laws that define and protect victims' rights. In recent years, state legislators, state-level executive branch officials, and local elected officials have worked closely with crime victims and advocates to forge public policy agendas dedicated to victims' rights and public protection. In 1998, the Council of State Governments Northeast Region (with support from OVC) sponsored a regional symposium with representatives from ten states, including victims, service providers, legislators, and justice professionals, to develop public policy recommendations and action plans for their respective states, specific to improving victims' rights and services.
- C *The news media* wield tremendous influence over public policy and program development in the disciplines of victim assistance and public safety. Timely information about trends in crime and victimization, model programs, and responsive public policy is available to concerned citizens, elected officials, justice practitioners and victim advocates through the news media. In a number of communities, informal partnerships have emerged through regular "bench-bar-press" sessions, in which the news media and justice professionals (which can include law enforcement, judges, prosecutors, defense attorneys, and victim advocates) meet to discuss media coverage of trials and public safety issues. These sessions often result in collaborative efforts to increase responsible news media coverage and create

avenues through which the media have access to timely, accurate information for their stories.

- C *Researchers and practitioners in the field of substance abuse* have much to contribute to the discipline of victimology. Many crimes are committed while offenders are under the influence of alcohol or other drugs, and many victims (particularly of domestic violence) live in environments where substance abuse is pervasive. Numerous research studies have shown that some victims use alcohol, prescription drugs, and even illegal drugs following their victimization to cope with trauma. Unfortunately, alcohol and other drugs are the stress reducer of choice for professionals involved in high-stress occupations, such as victim services. Collaborative efforts focusing on substance abuse treatment, education about the devastating effects of alcohol and other drugs (particularly related to crime and victimization), and drug abuse prevention offer meaningful insights to the field of victim services.

These five examples are indicative of the types of natural allies who can join together to improve victims' rights and services. Collaborative efforts such as these can be developed at the local, state, and national levels as well as across these jurisdictions. If an individual or entity is in a position to further the cause of victims' rights and the provision of quality victim services, then they have a rightful and meaningful role in collaborative networks and coalitions.

COLLABORATING FOR VICTIMS' RIGHTS AND SERVICES

There are a number of ways that crime victims, service providers, and allied professionals work together at the local, state, and national levels, as follows:

- C *Fiduciary relationships* primarily involve financial support from government sources for victim services from the federal level to states and localities, and from states to local jurisdictions.
- C *Public policy initiatives* have led to the passage of over 30,000 federal and state victims' rights statutes. Often, good ideas for laws cross over jurisdictional boundaries. For example, when California passed the nation's first anti-stalking statute in 1990, the other forty-nine states followed suit within eighteen months. The strength of America's grass roots victims movement has also been instrumental in organizing to support key federal initiatives, most notably the proposed federal constitutional amendment, and the successful passage of the Victims of Crime Act of 1984 and the Violence Against Women Act (VAWA) of 1994.
- C *Implementation of victims' rights* helps ensure that no matter where a victim lives or what type of crime he or she has been hurt by, help is available. With over 9,000 victim assistance programs operating in the public and private sectors, and advocacy services provided by numerous national organizations, collaborative efforts have strengthened crime victims' ability to understand and seek implementation of their rights.
- C *Research initiatives* are increasingly involving partnerships between researchers and victim assistance practitioners. National and regional public opinion surveys, research of specific

victim populations, and focus groups have been conducted by national, state, and local practitioners, with the results guiding the development of innovative and effective approaches to victim services.

- C *Training and technical assistance*, with substantial leadership provided by OVC, to develop curricula and training tools help increase professionals' and volunteers' knowledge of victims' rights and services. Standardized training programs have been developed for law enforcement, the judiciary, prosecutors, institutional and community corrections, and juvenile justice professionals as well as for allied professionals such as mental health and public health practitioners, clergy, and educators.
- C *Information and referral services* constantly cross jurisdictional boundaries to provide timely resources and referrals to victims in every region of the nation. The use of the Internet, national toll-free telephone numbers, and the U.S. Department of Justice-sponsored Resource Centers have greatly enhanced the ability to provide information and referrals to crime victims and concerned citizens.

CHALLENGES TO SUCCESSFUL WORKING RELATIONSHIPS

Whether victim advocates cooperate, coordinate, collaborate, or partner with allied professionals, volunteers, and communities, there are ten common challenges that can hinder the success of these important working relationships:

1. *Lack of a shared vision or mission.* When people work together toward a common goal, it should be clearly understood, easily communicated, and shared by all involved parties. If a vision or mission is pre-established by an individual or a small faction of a larger group, it may not achieve "ownership" that is needed by the whole group to ensure success. It is crucial to take time and process through a shared vision or mission with all stakeholders and establish goals and objectives that are supported by all.
2. *Lack of agreement about the problem or issue to be addressed.* While diversity is one of the essential elements of collaborative efforts, it also results in differing and often unique perspectives about the basic issue that is being addressed. In developing good working relationships, stakeholders must seek a consensus that respects different views and opinions.
3. *Lack of incremental successes on the pathway to an ultimate goal.* Too often people working together aim for one definitive goal that, in their view, connotes success. It is necessary to determine incremental, smaller successes that can help stakeholders ensure that they are headed in the right direction, and evaluate possible alternatives along the way to the ultimate goal if warranted.
4. *Egos.* The concept of "turf wars" is not foreign to most victim advocates. When such battles expand to incorporate even more stakeholders (and more egos), the results can be highly damaging to collaborative efforts. All interested parties must be willing to break down turf barriers and "leave their egos at the door" in their mutual attempts to reach a common goal.

5. *Lack of diversity among group members working toward a common goal.* If it is true that "great minds think alike," it is likely that "different minds think even better." One of the greatest strengths of professionals and volunteers involved in public safety issues is their diversity—by gender, age, culture, sexual orientation, profession, socioeconomic status, and geography. The many different viewpoints and perspectives of victim advocates and allied professionals are a key asset to collaborative efforts and, without them, such efforts are doomed to failure.
6. *Not having the "right players" at the table.* In many public safety initiatives, often the victims and their representatives are missing from collaboration forums. It is helpful to adopt a "global" view of the problem or issue that is being addressed in terms of *all* the stakeholders who are affected: victims, offenders, the community, system professionals, public policy makers, and the like. If a person or group of people is affected by a problem, it is absolutely critical that they be involved in developing a solution!
7. *Lack of understanding and implementation of change management techniques.* Most working relationships seek change: in justice processes, service delivery, and community involvement, to cite a few examples. If the road to a solution does not address the specific changes that will occur as a result and institutionalize these changes for the future, the outcomes will not be successful in the long run. Managing change is one of the most difficult, yet most important, elements of collaborative efforts.
8. *Lack of resources.* If time, level of commitment, and human or financial resources are not adequate to achieve a shared goal, failure is likely. Considerable attention should be paid to what type of resources are needed, at what point, by whom, and for how long, throughout the collaborative process.
9. *Lack of measures to evaluate success.* As stakeholders in collaborative processes begin their joint efforts, evaluation must be a key tenet of all their activities. Stakeholders' vision, goals, and objectives should all be measurable in concrete terms, and their plan should be flexible enough to accommodate changes that result from evaluative data that show a need to change course.
10. *Lack of understanding about victim trauma, rights, and needs.* While most collaborative efforts related to improving public and personal safety are well intentioned, some lack an overall understanding of how victims are affected by crime. It is important to incorporate training about victims' rights, needs, trauma, and sensitivity into any collaborative initiative that addresses public safety issues. The involvement of crime victims as active participants or advisors to guide the planning and implementation of such initiatives is also helpful.

COLLABORATION: A CHECKLIST FOR SUCCESS

While this chapter has offered a broad overview of the core elements of successful collaboration, they can be easily summarized in the following twenty points:

1. The problem(s) or issue(s) of concern are clearly defined.

2. All potential stakeholders and key leaders/change agents have been invited to participate in the collaborative initiative:
 - C People who live with the problem.
 - C People who have power to change the problem.
 - C People who have the technical expertise to address the problem.
3. Diversity among stakeholders is sought and respected as a key tenet of collaboration.
4. A mission or vision statement that identifies the critical problems or issues and possible collaborative solutions is developed and shared by all key stakeholders.
5. The problem or issue is analyzed to develop theories about why it is occurring and what can be done to change the situation.
6. Possible strategies or solutions are brainstormed among key stakeholders, with consensus built around the most sound approaches to problem solving or intervention.
7. The consensus strategy is divided into strategic goals and measurable objectives.
8. Goals and objectives are assigned an order of priority, with a sense of urgency given to the highest priority issues.
9. Responsibilities for action are developed and assigned to the relevant stakeholders, with clear understanding of the interrelationships among goals and objectives.
10. A time schedule for completion of goals and objectives is developed that includes tasks, persons responsible, deliverables, and deadlines. This should be flexible, depending upon ongoing evaluation results (see #14).
11. If necessary, memoranda of understanding and/or interagency agreements are drafted to clarify roles, responsibilities, and interrelationships needed to accomplish the goals and objectives.
12. A list of resources needed for success is developed, which may include research, evaluation, training, technical assistance, marketing, funding, public policy development, direct outreach to core constituents, public education, media relations, and technology enhancements.
13. Stakeholders involved in the collaborative effort assume responsibility (often jointly) for developing and/or providing resources that have been identified as critical to success.
14. Significant attention is paid to evaluation measures that can delineate success or failure. Flexible approaches are in place to allow for revision of original goals and objectives, based upon evaluation results (this is an ongoing process).
15. Methods of ongoing communications and regular meetings for status reviews are institutionalized.
16. A commitment to managing the change that results from the collaborative initiative is institutionalized, with consensus on how stakeholders will each educate their professional peers and volunteers about the positive aspects of the change and help them adjust to the new policies, procedures, and/or programs that result.

17. Small successes and achievements are celebrated, and barriers to success are viewed as surmountable challenges.
18. An assessment of the overall collaborative effort is conducted, with participation of all key stakeholders.
19. Recommendations for revising or "fine-tuning" ongoing strategies for success, based upon the overall evaluation, are developed.
20. Efforts are made to identify other initiatives that could benefit from the collaborative efforts of the key stakeholders involved in this initiative.

LEADERSHIP AND TEAM BUILDING

The real basic structure of the workplace is the relationship. Each relationship is itself part of a larger network of relationships. These relationships can be measured along all kinds of dimensions—from political to professional expertise. The fact is that work gets done through these relationships.

— Michael Schrage in *No More Teams*

Merriam-Webster Dictionary defines a team as "a number of persons associated together in work or activity." This somewhat broad definition encompasses the fact that teams can be professional, social, or a combination of the two. While the outcome of many team efforts is most often defined in terms of *professional accomplishment*, what must also be recognized and emphasized is the value of teams in promoting social and interpersonal relationships that strengthen the professional partnership and its success.

The success of any collaborative effort relies considerably on teamwork. When individuals commit to a common goal and work together to achieve it, they *collaborate* in a *team approach* for a *common cause*. They rely on expertise and ideas from *individuals* that, when combined, hold *collective* promise.

WHEN ARE TEAMS NEEDED?

While there are many benefits to teamwork, it is important to recognize that *not every project or goal requires teamwork*. There are eight core elements to consider in deciding whether or not a team approach is appropriate or necessary:

1. *One person or entity cannot accomplish a goal alone.* The adage that "no person is an island" is, in itself, a critical reason for developing team approaches to a problem or issue. When ideas and input from a variety of resources can benefit a common goal, then teamwork is appropriate and necessary.
2. *A project or goal is long-term and multi-faceted.* The more complex a project or goal is, the more likely it is that a team approach will be needed.
3. *There are many different points of view on a specific subject that should be considered.* If everybody agreed on a chosen outcome and the route to achieve it, then teams would not

be necessary. However, there are often different opinions and insights that can bring a fresh perspective and valuable resources to a desired goal.

4. *There are many different resources that can contribute to a successful outcome.* When teamwork is being considered as an option, the sponsoring entity should consider not only the potential team participants as resources, but the full scope of what they "can bring to the table," including time, energy, commitment, new networks, new information, funding, and prestige, among other contributions.
5. *Time, person power, and resources are limited.* In any instance where resources are limited, a team approach should be considered to expand the base of support, and to ensure that a chosen path to a goal will not fail simply because of a lack of time and human resources.
6. *Diversity is sought and valued.* In the delivery of services to clientele, it is vital to mirror the demographics and characteristics of the ultimate customers. Diversity in gender, culture, ability/disability, profession, and geography contributes to the development of programs, processes, and goals that ultimately reflect the needs and interests of the client population.
7. *A team sponsor seeks a culture of inclusion.* Initiatives that overtly or covertly result in exclusion create adversarial relationships, and are almost guaranteed to fail. A "culture of inclusion" recognizes not only the diversity of populations that will be *affected* by any given initiative, but also the value of the wide range of input, ideas, expertise and resources that a culture of inclusion creates.
8. *The initiative or goal cannot succeed without a team effort.* There are many projects that can be accomplished by one or two people and, as such, team approaches are not always required. However, when an ultimate goal or desired outcome is dissected into objectives and tasks, and it becomes clear that increased and diverse resources are needed for success, then a team approach is recommended.

WHEN ARE TEAMS *NOT* NEEDED?

Management consultant and author Robert Bacal (2000) believes that "teams are not a panacea; neither are they useless. It is important to consider the entire system of doing work to determine if team building, or a team-oriented approach, is likely to justify the investment of time and effort needed."

In his article "When Teams Aren't Important or Desired," Bacal asserts that "teams work within an organizational context that will either support teamwork or discourage it. In some cases, other factors in an organization will totally preclude effective teamwork, and can suggest that a team-based workplace is inappropriate" (Ibid., 2). He identifies five factors that pose barriers to effective teamwork:

1. Autocratic leadership/management.
2. Predominance of independent job tasks.

3. Rigidly structured hierarchal organization.
4. Preference for individual-based work.
5. Extremely unstable, chaotic workplace (Ibid., 2-6).

AUTOCRATIC LEADERSHIP/MANAGEMENT

Bacal warns against autocratic managers who decide to force people to work in participatory teams. In such situations, teamwork becomes something that is done *to* people *by* a manager or executive, resulting in the following outcomes:

- C Team members sense the contradiction between participatory teams and autocratic management. They don't believe the rhetoric of the leader regarding his or her commitment to teamwork.
- C There is a tendency for autocratic leaders to lack the skills needed to lead a team, so that teams end up directionless and confused. Some autocratic managers try so hard to "not be autocratic" that they refuse to give any hints as to what the team is expected to accomplish. Other autocratic managers supply such rigid constraints for teams that there is no point in having a team at all.
- C Autocratic leaders tend to use elastic authority. While they make a game attempt to "let go" of at least some power, they will quickly pull the elastic band to remove any autonomy that a team has. This elastic banding confuses teams since they can never tell what the bounds of their authority are, or they realize it's all a sham, and they have no autonomy or power anyway—just the appearance of it.
- C When an autocratic executive leads an organization, this makes effective teamwork at lower levels difficult, even though that work unit may have a more participatory leader. The work unit team may work as a team until they notice that someone "upstairs" is ignoring them, or rendering their ideas and work irrelevant or useless.

What results is: loss of credibility for management; increased frustration on the part of team members; difficulty in sustaining any team efforts; and difficulty in achieving even simple team goals.

PREDOMINANCE OF INDEPENDENT JOB TASKS

Some tasks require teamwork, while some tasks are best done by a single individual working alone. Some require a mix. If you have a predominance of job tasks that are best done independently, then productivity can suffer if you try to shoehorn them into a team situation.

Four criteria can be used to determine if any given task is best carried out by a team or an individual:

1. When tasks are simple and repetitive, teams are unnecessary and may create higher "overhead." Even if the overall task is complex but your organization breaks it down into teeny discreet tasks, a team may be unnecessary. An old style automobile assembly line is

an example of a set of simple, discrete tasks that, when combined, yield a complex product.

2. When tasks require little communication between those carrying them out, putting them in a team context can result in reduced efficiency and frustration.
3. When the information needed to complete a task is held entirely by one person, teamwork may disrupt the task.
4. When jobs are so unrelated that each job or task can be carried out without the person knowing what another person is doing, teams may not increase productivity.

RIGIDLY-STRUCTURED HIERARCHICAL ORGANIZATION

Almost every organization is structured in some hierarchical way. However, organizations differ in terms of the rigidity of that structure. The more flexible organization is characterized by increased delegation of authority to lower levels of the organization, flexible communication paths, and decentralized decision making. The more rigid organization demands that its staff work through channels, refer most decisions to higher levels in the hierarchy, and restrict autonomy as well as communication. As a result of this rigidity, decision making (and action) take a great deal of time.

A rigid hierarchical structure restricts individuals, but also teams. Teams below the "decision-making level" may work very effectively internally, but when they are faced with obtaining approvals through "channels," their usefulness is curtailed. First, the process is too slow to sustain team commitment. Second, when teams realize that they have no authority to complete their tasks, they back off, knowing that their work is not very meaningful. Third, rigid organizations, by restricting communication, can limit a team's effectiveness by reducing access to information that the team needs to succeed.

PREFERENCE FOR INDIVIDUAL-BASED WORK

Some people prefer to work in teams, while others have a preference for working more independently, or alone. Moving to a more team-based approach may actually reduce the effectiveness of people who thrive on a higher degree of isolation, while at the same time increasing their frustration and even anger. This will be the case if a team environment is perceived to "slow them down," or reduce their autonomy. Not everyone wants to be a team member. What this means is that an attempt to force them into a team structure imposed upon them may be counter-productive, particularly if there are no clear reasons for the team approach.

EXTREMELY UNSTABLE, CHAOTIC WORKPLACE

A final consideration is the relative stability of the organization, including its structure, mandate, staffing, etc. It is unlikely that any team will be effective when it must interface with different masters; when its role in the larger organization constantly changes; or when its own membership is always in flux. Teams need some stability to function well and effectively.

THE LIFECYCLE OF A TEAM EFFORT

In "The Lifecycle of a Successful Team," quality and change management consultant David Hutton (1997) highlights steps needed to initiate and support teams so that they succeed and deliver results. Hutton observes:

High-performing companies are usually very proficient in using team approaches, and typically employ a variety of team structures to complement or even replace the traditional organizational hierarchy. Some, such as Hewlett-Packard, are systematically striving to reduce the cycle time for team efforts—so that the gains can be obtained sooner and more team initiatives launched.

Hutton notes that "launching a team initiative is rather like launching an expedition to the moon—many actions must take place correctly, each at the appropriate time, for the expedition to accomplish its goal and for the crew to return safely. Many of these actions involve people on the ground, rather than the crew who go on the mission. Some minor malfunctions can be overcome by a resourceful crew, but a major error will usually cause the mission to fail" (Ibid., 1).

He analyzes the "lifecycle of a team effort" to determine the various actions that are essential, and hence the various failure points. *Figure 2* sets out the main phases of a problem-solving or process-improvement team initiative, and the key success factors at each phase (Ibid., 2):

LIFECYCLE OF A TEAM INITIATIVE

PHASE	KEY SUCCESS FACTORS
Formation	<ul style="list-style-type: none"> C A clear, measurable objective, linked to the organization’s goals. C An appropriate mandate for the team. C Assignment of a high-level sponsor. C Selection of people with the required capabilities. C Allocation of sufficient time and resources. C Establishment of a mechanism for regular monitoring and review of progress—to completion.
Preparation	<ul style="list-style-type: none"> C Choice of suitable methodology and tools. C Timely provision of training and guidance. C Development by the team of a game plan.
Execution	<ul style="list-style-type: none"> C Access to support resources. C Effective application of methodology and tools. C Regular communication, monitoring and review of progress. C Removal of barriers by the sponsor. C Intervention by the sponsor to recover from setbacks.
Completion	<ul style="list-style-type: none"> C Recognition of the team’s efforts. C Debriefing to learn from the team’s experience. C Acknowledgment of the personal development gained.

Figure 2

Hutton recommends utilizing these phases and related success factors as a "checklist" for assessing which parts of a team lifecycle are working well and which need improvement.

TEAM IMPLEMENTATION

Teams can be established for a variety of reasons. They can:

- C Be informal as a means of facilitating ongoing communications among professionals.
- C Be formal in order to accomplish prescribed goals and objectives.
- C Focus on a single purpose or project with a "beginning" and "end" that is arrived at when the goal(s) are achieved.
- C Address a variety of issues that require input and ideas from a cross-section of participants.
- C Be multifunctional and require participation from a cross-section of professions and personnel.
- C Be a combination of several of the above.

The professional who decides to implement a team approach— who will often assume, at least initially, a leadership role in team development and implementation—should have a clear idea about the reason for creating a team. While this initial reason may change as the team evolves, it is helpful to be able to provide an initial "vision" to potential team members.

ESTABLISHING GOALS AND OBJECTIVES

The way to achieve success is first to have a definite, clear, practical ideal—a goal, an objective. Second, have the necessary means to achieve your ends: wisdom, money, materials, methods. Third, adjust all your means to that end.

— Aristotle

While the person who implements the team may have a general idea about team goals and expected outcomes, it is important to solicit input and involvement from team members to either validate or expand these draft goals, or to develop new ones. In implementing teams, goals and objectives keep the group focused, and augment the cohesive structure of the group.

Goals are "macro statements" about the reality the team is trying to create. Goals take time to achieve. They are long term. Finally, goals need to be realistic and specific (Marshall, 7 October 1999).

Generally, goals include a:

- C Description of the overall project or proposal.
- C Statement regarding the importance of the project to team members, as well as populations that will benefit from its outcomes.
- C Hypotheses about desired results.
- C Timetable for completion of objectives and tasks.

- C Designation of roles and responsibilities for individual team members as well as the collective team.
- C Resources needed to complete the goal, such as personnel, communications, equipment, and money.
- C Performance or evaluation measures to assess success.

An objective is a "micro statement" that provides a detailed and measurable description of how each goal will be attained. A single goal may have several objectives to achieve it. In addition, different objectives may have different team members—or even "sub-teams"—assigned to accomplish them.

SETTING "GROUND RULES"

Similar to goals and objectives, ground rules should be established through a group process at the onset of team development. While ground rules may differ based upon the team's shared goal(s) and objectives, there are ten general guidelines for ground rules that are common to most teams:

1. There will be respect for, and encouragement of, diversity of opinions and ideas.
2. How will decisions be made, and by whom?
3. How will tasks to accomplish objectives be assigned?
4. How will tasks be accomplished, i.e., by individuals, sub-teams, the full team, or a combination of the above, based upon the task?
5. How will "leaders" within the team structure be delineated, i.e., by volunteering, by group consensus, etc.?
6. How will group members communicate with each other on an ongoing basis?
7. How will timetables be established?
8. What measures will be taken to address team members who fail to meet deadlines, i.e., will there be "troubleshooters" to address delinquencies? Will support be provided to team members who miss deadlines? How will chronic delinquency in task completion be addressed?
9. How will conflicts be addressed?
10. What are overall team members' expectations of its individual members?

Once ground rules have been established, it is helpful to provide them in writing to all team members, review them regularly to ensure they are being met, and revise them on an "as needed" basis.

CHOREOGRAPHING TEAM MEETINGS

(The following section is adapted from "Choreographing a Meeting," *Doing Journalism Tip Sheets*, by E. Miller, 1999, St. Petersburg, FL: Poynter Institute.)

Pacing a meeting requires knowing when to propel certain people to center stage, and when to move them off-stage and bring others forward. There are distinct stages individuals and groups go through as they learn. Meeting leaders need to manage those stages and draw out those personalities who are most effective in each stage. Choreographing these roles will have a direct bearing on the pacing (and success) of a meeting.

In this model, there are four stages of learning: reflecting, connecting, deciding, and doing.

First, people reflect on a problem or situation, coming up with several thoughts or options. They then make connections between the various bits and pieces of reflection. This leads to decisions and subsequent actions.

But each stage requires different skills. For example:

- C *Reflecting* needs "divergent thinkers" to brainstorm and fantasize.
- C *Connecting* requires "connection makers" who can take two different ideas, for example, and fashion them into a more useful third option not originally considered.
- C *Deciding* depends upon "convergent thinkers" who can synthesize options and converge on a plan.
- C *Doing* requires "accommodators" who can get things done.

Most everyone can play all four roles, but each of us has one area in which we particularly excel. The success of a meeting depends on how well the leader understands the personalities and skills of the participants, and puts those individual strengths to work at the appropriate time. For example, if you want to have a brainstorming session to cook up a lot of ideas, you need to stack the meeting with "divergent thinkers," the best idea generators in any organization.

If you want a meeting to filter the raw ideas and come to some decisions about what to do, the key players will be the "connection makers" and the "convergent thinkers," the ones who can best synthesize and focus.

Finally, if you are designing a planning meeting on how to implement the ideas, you want the "accommodators," the people who are best at figuring out how to get something done.

Unfortunately, life is never that tidy. Invariably, you'll find all four types at any meeting (or people who think they are good at all four roles). The challenge for the team leader is to know how to let people play to their individual strengths at the appropriate times. The "divergent thinkers" who surfaced all those interesting ideas need to be shut down during the *connecting* and *deciding* stages, or else they will clutter the process with more ideas you don't need. Similarly, when you are entering a *deciding* stage, the "convergent thinkers," who are often

shy and withdrawn in the face of the gonzo "divergent" types, need to be coaxed onto center stage.

One tip: To cut down on digressions, ask people to silently hold up an index finger when they believe the discussion is digressing. This signals that the group must get back to the point and watch the clock. Try it—it works!

CHARACTERISTICS OF HIGH PERFORMING TEAMS

Robin Reid (1998) identifies sixteen characteristics of team members that contribute to high performance. (Note: Reid's key points [italicized bulleted items] are augmented by descriptions developed by this manual's authors):

1. *Share a common purpose and goals.* Team members must be involved in developing a shared mission, purpose, goals and objectives. Without "buy-in" from individual team members, the concept of a shared effort is lost, and disagreements on team processes are likely to be exacerbated.
2. *Build relationships for trust and respect.* Often, team members come from diverse backgrounds and bring many ideas and strategies to the common team table. Permission and encouragement must be given to participate, and team members' involvement at every level must be validated as valuable and important, regardless of potential disagreements.
3. *Balance task and process.* The "process" of team building and management must be broken down into manageable tasks. While the ultimate goal is team consensus and collaborative outcomes, it is crucial to recognize that a number of tasks – performed by a number of individuals with varying degrees of expertise, opinions and resources – is necessary for success.
4. *Plan thoroughly before acting.* A team without a plan is like a film without a script. And as in film making, there are a wide variety of talents that are needed for the final movie to be produced, disseminated, and enjoyed by the multitudes. A team leader must be careful to bring planning ideas and processes to the collective "team table" without dominating the planning process, and with a goal of providing plenty of opportunity for individual team members' contributions to the planning process.
5. *Involve members in clear problem-solving and decision-making procedures.* The simplest path for a team leader to take in problem solving and decision making is to "do it myself." It is also a clear path to destruction of team values, participation, and eventual outcomes. While all team members are not always involved in the creation of problems and the rendering of decisions, they are ultimately affected by the results. As such, an environment of inclusion in problem solving and decision making should be created and nurtured.
6. *Respect and understand each others' diversity.* Differences in team members' ideas and approaches—as well as demographics such as age, gender, culture, disability, geography, profession, and experience—must be valued as assets, and never perceived as barriers.

7. *Value synergism and interdependence.* Team dynamics and ground rules must emphasize the importance of "the sum of two equals," i.e., that the independent ideas and input from individuals, when combined with others, can create new, important, and innovative approaches that benefit the collective team.
8. *Emphasize and support team goals.* While consensus among team members for all team goals and expected outcomes is not *essential* for success, it is *helpful*. Individual team members should be provided with the opportunity to contribute to the initial development of overall goals, as well as making revisions, as needed, based upon team processes and incremental outcomes.
9. *Reward individual performance that supports the team.* "Team spirit" can sometimes preclude recognition of individual achievements that contribute to the overall "spirit." Team processes that reward individual achievement help recognize contributions; establish standards for achievement; and provide encouragement for team members to continue *wanting* to contribute to the overall team effort.
10. *Communicate effectively.* Standards and guidelines for group communications should be established. While some team members may not want to be "inundated" with information that they consider to be irrelevant to their individual goals and tasks, others want to be kept "in the loop" on all team communications. Electronic communications via web sites and e-mail ease the process of overall team communications. However, it is critical to establish individual preferences for information sharing and team communications as a component of establishing team "ground rules."
11. *Practice effective dialogue instead of debate.* The key difference between "dialogue" and "debate" is *respect*—respect for others' opinions, ideas, and input. A focus on commonalities, rather than differences, can help create opportunities for constructive dialogue that do not disintegrate into ongoing disagreements.
12. *Identify and resolve group conflicts.* Small conflicts that are not addressed quickly turn into significant problems that can affect team relationships, processes, and outcomes. Team members should agree up front to identify *anything* that even remotely resembles a potential conflict, and permission must be given for all team members to participate in conflict resolution processes. Guidelines should be established that create a team commitment to avoid "staff infection," i.e., individual team members taking sides in a conflict, creating divisions among the team members, and exacerbating the initial conflict into a potentially unmanageable situation.
13. *Vary levels and intensity of work.* Team plans and processes must identify and respect each team member's workload, within and beyond the confinements of the team. No single team member should be *expected* or *allowed* to shoulder the bulk of the work needed to complete a task, objective, or goal. The interdependency of individual team activities should also be linked to the overall success of the team endeavor, i.e., one team member's activities are often intricately linked to the outcomes or success of another's.
14. *Provide a balance between work and home.* Avoidance of individual and team stressors are closely linked to a balance in work/team demands and other aspects of team members' lives.

15. *Critique the way they work as a team, regularly and consistently.* Ongoing review of individual and collective goals, objectives, and expected outcomes help create an environment of flexibility, and allow for revisions in "original game plans," if or as needed. Critiques are never the function of one individual; rather, they should be expected and solicited from *all* team members.
16. *Practice continuous improvement.* The adage "practice makes perfect" is reflected in this characteristic of a high performance team. "Practice" of different ideas, approaches and processes contributes to both individual team member, and overall team, improvement.

CHARACTERISTICS OF A STRONG TEAM LEADER

While the principle elements of good leadership are addressed extensively in Chapter 1 of this manual, a strong team leader should possess the following characteristics:

- C Commitment to excellence.
- C Commitment to success, but willingness to accept failure with dignity.
- C Willingness to learn and grow through the team process.
- C Knowledge of group dynamics—"the good, the bad, and the ugly."
- C High expectations of oneself and one's ability to lead.
- C Positive thinking.
- C Highly organized, or able to ask for support in maintaining the team cohesiveness.
- C Strong conflict identification and resolution skills.
- C Sense of humor.
- C Capacity and willingness to mentor other team members.

THE TEAM LEADER AS "MENTOR"

Each one, teach one. — Author unknown.

The exhaustive literature on teamwork emphasizes that *every individual has the capacity to lead*. Some people are thrust unwillingly and unexpectedly into positions of leadership; examples of victim activists who become strong leaders as a result of their personal experiences as crime victims abound. Some people lead when there is nobody else to "step up to the plate." And some people become leaders because *another person with strong leadership capabilities takes time to cultivate their motivation and skills as a leader*.

In a team environment, mentoring is essential for the survival of the team, as well as for the future of the disciplines represented by team members. Persons in positions of power often become overwhelmed by their responsibilities. Leaders can burn out, change jobs, seek more balance in their lives that precludes high levels of professional activities, and retire. Without ongoing and effective mentoring, a significant void results.

How can team leaders mentor other team members?

- C **M**otivate others by example: Remain committed to the team's goals and objectives; always have a positive attitude; and complete assigned tasks on time and with enthusiasm.
- C **E**xpect great things from themselves and other team members, and be willing to provide support, encouragement, and nurturing to help other team members reach their goals.
- C **N**ever give up! Once the team establishes goals and expected outcomes, a strong mentor will do everything possible to support team members individually, as well as collectively, to attain them. Milestones on the road to success will be celebrated, and setbacks will be addressed in a positive and constructive way.
- C **T**wo-way communications are essential and continual. The mentor must be open, honest, and forthcoming with team members. Opportunities for new ideas and input from protégés are encouraged and welcome.
- C **O**rganize the team to be successful and, in addition, to demonstrate organizational skills by example. Trust that other team members will help "keep the wheels rolling," and be prepared to provide support and encouragement to those that are having trouble.
- C **R**espect individuals and individual differences. "Model" this attribute by having self-respect and not being afraid to show it!
- C **S**hare their vision, ideas, expertise, and resources with team members, and encourage them to do likewise.

CHARACTERISTICS OF HIGH PERFORMING TEAM MEMBERS

What constitutes a strong "team player"? The prolific literature on successful teams offers significant insight as to the characteristics of a high performing team member. They can be summarized in the following twenty points that provide a strong foundation—as well as a simple "checklist"—for individuals who seek to be successful team members:

As a strong team player, I—

- C Will commit only to activities that I can accomplish with my knowledge, time and resources.
- C Will "not bite off more than I can chew."
- C Will ask for help from my fellow team members when I need it.
- C Recognize that when I commit to a team task or goal, others are reliant on me to accomplish this activity for their own success.
- C Am always willing and able to *lead*, and always willing and able to *follow*.
- C Am flexible as an individual, and as a team member.

- C Appreciate "strength in numbers" as well as the individual contributions that create that strength.
- C Can benefit from getting to know my fellow team members as people *and* professionals, and recognize that building personal and professional relationships should be an individual as well as team goal.
- C Help and support my fellow team members.
- C Can learn from the experiences and expertise of my fellow team members.
- C Need to leave my ego at home.
- C Bring strong skills to the team table that can be augmented by my team members' expertise and experience.
- C Must be willing to seek out new skills and resources that contribute to my own personal growth and development as well as that of my team.
- C Am willing to take risks, without jeopardizing either my own integrity or that of my team.
- C Respect diversity of people, processes, and opinions.
- C Commit myself to cooperate, not compete, with my fellow team members.
- C Will be willing to bring my perceived conflicts out in the open so they can be addressed by the team in its entirety.
- C Will not hold grudges if a team conflict is not resolved to my liking, and will recognize that conflicts can result in personal and professional growth for me as well as my team.
- C Must be willing to consistently evaluate my own contributions to and participation in team processes, as well as the overall team accomplishments.
- C Seek, recognize, validate, and celebrate both individual team members as well as overall team successes.

VIRTUAL TEAMS

(This section is derived from a speech given by Lisa Kimball at the Team Strategies Conference sponsored by Federated Press, Toronto, Canada, 1997.)

Teams aren't what they used to be.

The nature of teams has changed significantly because of changes in organizations and the nature of the work they do. Organizations have become more distributed across geography and across industries. Relationships between people *inside* an organization and those previously considered *outside* (customers, suppliers, managers of collaborating organizations, and other stakeholders) are becoming more important. Organizations have discovered the value of collaborative work. There is a new emphasis on *knowledge management*—harvesting the learning of the experience of members of the organization so that it is available to the whole organization.

All these changes in organizations have changed how teams are formed and how they operate. The following table outlines the fundamental changes teams have undergone in today’s workplace environment:

FROM	TO
Fixed team membership	Shifting team membership.
All team members drawn from within the organization	Team members can include people from outside the organization (clients, collaborators)
Team members are dedicated 100 percent to the team	Most people are members of multiple teams
Team members are co-located	Team members are distributed organizationally and geographically
Teams have a fixed starting and ending point	Teams form and reform continuously
Teams are managed by a single manager	Teams have multiple reporting relationships with different parts of the organization at different times

Figure 3

Although the technology that supports these new teams gets most of the attention when we talk about *virtual teams*, it’s really the changes in the nature of teams—not their use of technology—which creates new challenges for team managers and members. Managing a virtual team means managing the whole spectrum of communication strategies and project management techniques as well as human and social processes in ways that support the team.

Some of the things that need to happen in order for organizations to make effective use of virtual teams include:

- C Processes for team management and development have to be designed, defined, piloted, tested, and refined.
- C Team managers have to be trained in new team management strategies.
- C Team members have to be trained in new ways of working.
- C The culture of the organization has to be reshaped to support new structures and processes.
- C Organizational structures have to be modified to reflect new team dynamics.
- C Reward systems have to be updated to reflect new team structures.
- C New information technology (IT) systems have to be built to support teams.
- C New management, measurement, and control systems have to be designed.

A NEW MANAGEMENT MINDSET

The following are some aspects of a virtual team manager’s mindset which must shift in order to be effective in contemporary organizations (Metasystems Design Group and Catalyst Consulting Team):

FROM	TO
Face-to-face is the best environment for interaction and anything else is a compromise.	Different kinds of environments can support high quality interaction. What matters is how they are used.
Collaboration is what happens when teams interact at a fixed time and place.	Collaboration happens in an ongoing, boundaryless way.
Being people-oriented is incompatible with using technology.	Using technology in a people-oriented way is possible and desirable.
When the communication process breaks down, blame the technology	When the communication process breaks down, evaluate management and interaction strategies, not just the technical tool.
Learning to manage virtual teams is about learning how to use the technology.	Learning to manage virtual teams is about understanding more about teams and the collaborative process.

Figure 4

Different media raise different sets of questions for managers, which are highlighted in Appendix D-6, *Virtual Teams*.

TECHNOLOGY FOR VIRTUAL TEAMS

Different communication technologies can be used to support different purposes and participants. Many organizations are using their corporate Intranet to support communication within each virtual team. It’s also important to manage the communication among the teams as well as communication between the organization and other stakeholders. Creating an integrated communication strategy that addresses all these dimensions is important.

There are no rules for what an Intranet must include, but most Intranets employ a suite of applications, including:

- C *Web pages* to provide members of the organization access to documents that can be searched, and that may include text, graphics, and multi-media.
- C *Web conferences* to provide places for interactive discussion.
- C *E-mail* (both internal and, if desired, connected to the public Internet).
- C *Directories* of people and offices.

Note: Additional team-related communication technologies utilized, for example, by victim assistance organizations include compressed video and/or satellite teleconferencing for distance learning, audio conferencing for team and training initiatives, and list serves or user groups that share electronic communications based upon a common interest.

STRATEGIES FOR SUPPORTING VIRTUAL TEAMS

Virtual teams form and share knowledge based on information pulled from individual members, not a centralized push. Knowledge-based strategies must not be centered around collecting and disseminating information, but rather on creating a mechanism for practitioners to reach out and communicate to other practitioners.

The goal is to *find ways that support the transformation of individuals' personal knowledge into organizational knowledge*. That goal requires designing environments where all the individuals feel comfortable (and have incentives) to share what they know. It's important that this activity not feel like a burdensome "overhead" task, which is why doing it in the process of what feels like an informal conversation works well.

In order to have productive conversations among members of virtual teams, you need to create some kind of common cognitive ground for the group. Even teams from the same organization can have a hard time developing conversations deep enough to be significant without some kind of specific context as a beginning frame. Contexts can be created by guest speakers, training courses, requests for input to a specific project or question, and special events.

Managers of virtual teams can support their teams by:

- C Recognizing them and their importance.
- C Encouraging members to explore questions that matter, including questions about how they are working together.
- C Supporting the creation of some kind of shared space (the feeling that there is an infrastructure *where* people are working together).
- C Facilitating the coordination of the technology, work processes, and the formal organization.
- C Recognizing reflection as action and as legitimate work (getting the infrastructure of the organization to support the learning process).
- C Supporting activities that make the informal network visible.

CONCLUSION

The very foundation of victim assistance is based on the concept of "people reaching out to people"—in times of need, in times that require a "chorus" rather than a "solo performance," and in times that recognize there is, indeed, "strength in numbers." The value of collaboration, partnerships, and team initiatives is clear. With the knowledge gained from this chapter, the challenge to the leader is to recognize and overcome barriers to collaboration and team building, and demonstrate "team leadership" by always being a strong "team player," knowing that his/her efforts will result in the "strength in numbers" necessary to promote victims' rights and services, as well as public safety.

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ABSTRACT

The discipline of victims' rights and services has witnessed significant changes since its inception thirty years ago. The ability to anticipate and facilitate change—and to grow positively from the experience of change—are vital skills for leaders, and affect how an organization will adapt to both uncertainty and opportunities. When leaders successfully manage change, they create positive opportunities for their organizations, staff, and allied professionals as well as for themselves.

LEARNING OBJECTIVES

Upon completion of this chapter, students will understand the following concepts:

- C General assumptions about change as a driving force in the discipline of victims' rights and services.
- C The internal and external factors that affect change, and how to address threats and resistance to change.
- C Qualities needed for a strong "change agent."
- C Change management techniques and tools.

INTRODUCTION

(This chapter is updated from "Change Management" written by Anne Seymour in 1998 and published in the *Promising Practices and Strategies in Technology to Benefit Victims*, published by the National Center for Victims of Crime with support from U.S. Department of Justice, Office for Victims of Crime.)

To improve is to change; to be perfect is to change often. — Winston Churchill

If there is one thing leaders can count on facing, it is change. The world is changing by the minute and it is imperative that leaders have the courage, flexibility, and resources necessary to guide and facilitate their co-workers and organizations through the virtual nonstop wave of change that is an essential and unstoppable component of everyday life. Change can take place within an organization in the form of budget cuts, personnel changes, or changes in the leadership structure. Change can occur from without through changes in the economy, developments or breakthroughs in work related to the organization's mission and goals, or a

reduction in funding for projects or positions. The potential sources of change are limitless, but the way change is handled and facilitated can be steadfast, consistent, reassuring, and positive. An absolutely crucial role of any leader is to set the pace for how change, of any type, will be handled by the individuals s/he is leading.

The victims' rights discipline is all about change. Just a quarter of a century ago, victim services were virtually non-existent. Three organizations were founded in 1972 in San Francisco, St. Louis, and Washington, DC, to change how victims were viewed and treated by the justice system. It is a tribute to the resiliency of this discipline that all three pioneering organizations are not only in existence today, but also remain strong and determined to continue their efforts to help crime victims.

In the early 1970s, there were few entities devoted to promoting victims' rights and services. Today, there are over 10,000 in communities large and small across the nation. During this same period, there were a handful of laws that defined and protected victims' rights. Today, there are over 30,000 statutes on the books at both the state and federal levels, which specify victims' rights and define victim assistance within the criminal and juvenile justice systems and in communities. Attitudes that twenty-five years ago blamed victims for their crimes have been significantly altered, resulting in attitudes that focus blame appropriately on the offender who chose to harm another person. Each year supportive services are provided to the countless individuals and communities who are victimized by crime and delinquency.

CHANGE AS A DRIVING FORCE FOR VICTIMS' RIGHTS AND SERVICES

The victims' rights discipline has not only adapted to significant change but, indeed, *has propelled it*. An historical assessment of the field shows little planning or change management in the early days. Individuals were driven by personal pain and indignity—what one longtime victim advocate calls "the power of the personal story." National associations (e.g., Mothers Against Drunk Driving, Parents of Murdered Children, the National Center for Missing and Exploited Children, and the National Center for Victims of Crime) grew rapidly out of grassroots efforts that resulted from a single crime in which victims were treated poorly or ignored,. Ad hoc coalitions formed around specific victim-related issues, such as domestic violence and sexual assault, then grew into public policy and education initiatives that form the crux of victims' rights today. However, such drastic change was not without its negative side effects:

- C Professionals and volunteers burnt out early and left the field.
- C Well-meaning grassroots organizations—"all heart and little structure"—opened and then closed their doors.
- C Competition for limited funding abounded.
- C Relationships and partnerships were fractured, some permanently.
- C Disagreements about the best approaches for victims' rights and services—in terms of both legislation and service delivery—were common.

Aid for Victims of Crime Executive Director Ed Stout notes that change within the discipline of victims' rights and services has occurred in two different ways:

1. *Planned changes*: The creation of the victim impact statement in 1976 by then-Chief Probation Officer James Rowland of Fresno to give victims a voice in sentencing hearings; the nationwide movement to pass state constitutional amendments; the legislative initiatives that began as a good idea in one state and quickly swept to passage in other states.
2. *Unplanned changes*: The victim services and programs that are initiated primarily because of new grant funds available; the initiatives that result from a high-profile victim case that generate the introduction of new laws or the creation of new direct services.

Stout maintains that "the 30 years of history in our field has taught us that we can be a powerful, constructive force for change, if we plan it and take control of it, but *not* if we let it happen and react to it after the fact."

In the 21st century, victims' rights and services are neither a passing "fad" nor a rebel movement. Instead, with its roots deeply imbedded in the grass roots of action and activism, and an infrastructure supported by laws and ongoing funding resources, the victims' rights discipline in the United States is becoming institutionalized. Significant initiatives today focus on strengthening existing efforts, entities, and partnerships that improve victims' rights and services, while harnessing the power of additional *individuals* and *innovations* to meet the ever-increasing needs of victims and witnesses of crime.

The "individuals" are professionals and volunteers—including victims of crime—who join forces to make a positive difference in crime prevention, victim assistance, crime control, and community safety. The "innovations" consist of new approaches that make the job of victim assistance and support easier and more manageable; new partnerships that recognize tremendous common ground in victim assistance and community safety; and new technology that improves management information, expands victim and public awareness, and enhances victims' rights such as notification, restitution, protection, and input.

While there are considerable inherent benefits in the new approaches, partnerships, and technologies that benefit victims of crime and those who serve them, there are also significant challenges—how to identify and overcome the barriers to planning and implementing new, collaborative, and creative initiatives that help crime victims while increasing the benefits to victims, agency professionals, the criminal and juvenile justice systems, and the public. This process is called *change management*.

While this discipline has successfully created and, in some instances, forced considerable, positive change to occur, the combination of people, partnerships, and technology offers opportunities to increase both the speed and scope of future change. Managing such change in a consistent, systemic manner, however, is a skill that must be studied and honed.

GENERAL ASSUMPTIONS ABOUT CHANGE

There are six general assumptions about change that are relevant to victim advocates and allied professionals:

1. The rapid nature of change within the fields of victim assistance, criminal and juvenile justice, and allied professions has significant implications for victim-serving agencies. While some changes sought by the victims' rights discipline seem to take forever to make (for example, the fifteen-year effort to pass a federal constitutional amendment), more often change occurs quickly and often spreads in epidemic proportions. When researching and designing new innovations in victim assistance—such as laws, technological applications, or promising practices—victim service providers must keep apprised of current research, assessments, and evaluation data that are relevant to the long-term, rather than simply seeking "quick fixes" to current problems.
2. Change is most often viewed in how it will affect or improve *processes*. What is erroneously overlooked is the effects of change on *people*. The processes of change simply provide tools that enhance the capabilities of human beings. The often mind-boggling changes that new approaches, new partnerships, and new technology can bring affect the people whose efforts they augment. When organizations focus solely on *processes*, and ignore the *people* affected by the changes (who often are responsible for enacting new processes), they are doomed to failure.
3. Change is *not* linear. Change is most often multi-tiered, complex, interactive with, and dependent upon a variety of forces (both internal and external to individuals and agencies). Victims' rights and services have never operated in a vacuum. The interdependencies among victim advocates, justice professionals, community representatives, public policy makers, and other key stakeholders *all* contribute to this discipline's success and, in some cases, its failures. The change an individual or entity is going through must be placed in the larger context of other changes that simultaneously occur (some of which may be related, and others that are not).
4. Often, when agencies focus on change through new approaches, partnerships and/or technology, they ignore other changes that are occurring within the organizational context that can affect the "change of focus." The changes brought through new innovations can have unexpected "side effects" in personnel, programs, and policies. Unless these subsequent changes are validated and addressed in a timely manner, the change of focus may be challenged.
5. Change is consistent and constant. For change to be facilitated, the change agents and processes must also be consistent and constant. Essentially, change is seldom a short-term process. It requires consistency and adaptability from both managers and staff, with an eye toward "the long term" that is clearly articulated by a mission and vision.
6. Change must be articulated in advantages and benefits for the individual, the organization, and the discipline of victims' rights. In most cases, agency administrators and leaders in new partnerships and programs have a clear vision for what they hope to accomplish. Yet

unless this vision is validated and shared by agency staff and key stakeholders, it will rightfully be challenged.

GUIDING PRINCIPLES FOR FACILITATING CHANGE

Change management consultant and author David Hutton believes that "in supporting change, the game plan is important, but many decisions are required day by day that can help make or break the process. The figure below highlights key principles for facilitating change identified by Hutton (1997, 9-10):

ENGAGING PEOPLE	PROVIDING LEADERSHIP
<ul style="list-style-type: none"> C Link the changes to people’s needs. C Let people plan their own part of the journey. C Prepare people for the tasks required of them. C Prepare people to deal with the stresses of change. C Welcome "resistance" as a sign of personal struggle, not as opposition to the goal. C Celebrate progress and make it fun. 	<ul style="list-style-type: none"> C Establish a clear, practical vision of the desired future state. C Ensure that leaders strive to act as role models for others. C Align recognition and reward systems with the goals. C Make the change process a team effort. C Provide for an ongoing, open, two-way flow of information.
CHANGE SUPPORT STRATEGIES	PROJECT MANAGEMENT
<ul style="list-style-type: none"> C Build partnerships involving all the key stakeholders. C Maintain the support of committed sponsors. C Strive for small early successes. C Focus effort where it can be most effective. C Cement the changes by neutralizing entrenched opponents. 	<ul style="list-style-type: none"> C Assign responsibility for orchestrating the process. C Develop a plan that addresses both human and technical issues. C Establish structures both to drive and to support the process. C Establish reliable systems for measurement, follow-up, feedback and learning.

Figure 1

FACTORS AFFECTING CHANGE

In order to facilitate change, knowledge about factors that directly affect change is essential to success. These can usually be segmented into *external factors* and *internal factors*.

The key to effective change management is to understand and incorporate all identified factors affecting change into research, planning, implementation, and evaluation processes. It is also essential to identify factors that are manageable only through collaboration with other entities (external factors), along with those that occur within an organizational context (internal factors).

EXTERNAL FACTORS AFFECTING CHANGE

- C Development of or revisions in state laws, judicial rules, and interagency policies or agreements are often needed to evoke change, and must be identified and addressed in the early planning stages. Indeed, laws, rules, and policies often form the very foundation of change. An entity's time line for change can be thrown off course if it is necessary to institutionalize such change through legal or policy processes.
- C There are countless applications of interesting innovations that *may* or *may not* fit an agency's needs. Some ideas or programs look and sound good, but are not entirely applicable to the problem(s) an agency is trying to address. Extensive research (which takes time) is needed to match an organization's current and projected needs with change applications; it must be determined if the new program or approach is relevant and/or adaptable to meet not only existing, but changing needs.
- C Some victim service providers have had limited experience dealing with the core requirements of change, which can include research, evaluation, assessment, strategic planning, and formation of ongoing partnerships.
- C Some allied partners who are necessary for change to occur—such as justice professionals, mental health providers, schools, the faith and business communities, and community members—may have limited knowledge of victim issues, and require information and education about the myriad topics related to the change that is seeking to be achieved.
- C Other agencies with which an entity must integrate to implement change can pose a challenge to its implementation. For example, if a victim service agency is seeking to improve restitution management, it will rely on law enforcement to inform victims of their right to restitution; prosecutors to request restitution and victim/witness professionals to help victims document losses; judges to order restitution; probation to include restitution in pre-sentence investigation reports, and manage the collection and disbursement of payments; and offenders to be informed of their obligation to pay restitution as a component of accountability.
- C When other agencies are required to provide or share information and data applicable to a new initiative, several issues need to be addressed:
 - Who "owns" the data?
 - Who has access to the data (which is especially significant in addressing victim and/or offender confidentiality issues)?
 - Do common data elements exist for the purposes of technological applications, or must they be developed?
 - Are there policies and procedures to guide information sharing and integrated systems?
- C The level, types, and scope of funding available to research, develop, implement, and evaluate new approaches to victim assistance will affect both the speed and scope of change.
- C The ongoing needs/demands of victims/clients seldom diminish as an organization goes through the change process. Personnel or program assignments often must be adapted to accommodate the change. For example, several victim service agencies have experienced problems when a staff member whose primary responsibility is direct victim service gets re-

assigned to focus on technology and the agency's management information systems. While the expected outcomes are reduced workloads for everyone, the change process requires an ongoing reassignment of that person's workload to other staff in order to implement the change.

- C Prescribed measurements of success and effectiveness resulting from new programs or approaches often change. For example, as justice professionals begin to develop "victim-centered" approaches to their work, the "old" measurements of success—which have traditionally been offender-focused—change to incorporate new victim-specific measures, i.e., number of victims who are notified; number of victim impact statements that are solicited and collected; amount of restitution that is ordered and collected; and the number of inter-agency referrals that are requested by, and/or offered to victims.

INTERNAL FACTORS AFFECTING CHANGE

- C Most victim-serving agencies have a clearly defined "culture" that has emerged over time. The elements of culture, while varied among organizations, are related to a variety of issues and practices, including but not limited to:
 - Shared values centered around the provision of victim services.
 - Staff relationships (healthy and unhealthy).
 - Commitment to agency principles.
 - Communications (both formal and informal).
 - Agency policies, procedures, and protocols that define program implementation.
 - The agency's expectations of staff, and how meeting such expectations is measured.

If a proposed change cannot be structured to adapt to an agency's culture, then the culture must change to accommodate the change. As noted author and psychologist Daryl Conner noted in *Managing at the Speed of Change* (1992), "Whenever a discrepancy exists between the current culture and the objectives of your change, the culture always wins."

- C Staff's knowledge about new programs and approaches, and their applications to their agency, is often varied. Efforts must focus on addressing such "learning curves" in order to obtain an equilibrium of expertise.
- C Staff turnover affects the change process, particularly when staff leave as a result of being unable to adapt to change.
- C How (or if) staff communicate on an ongoing basis figures significantly in change processes. Agencies must incorporate formal communications measures—such as meetings, memos, written policies, staff training, internal e-mail, and internal agency publications, to name a few—with more informal communications, such as conversations by the water coolers and gossip.
- C If internal political conflicts exist, it is likely they will not be erased by change processes, but exacerbated.

- C Historical and current expectations of individual staff members, agency leadership, the organization, and the discipline of victims' rights must be considered throughout the change process. Will new policies, programs and practices disrupt staff expectations? How will the "status quo" be affected? Can expectations grow, or will they be diminished?
- C Funding can be both an external and internal factor in the change process. The internal effects result from questions such as:
- Is this a good investment for the short- and long-term for our agency?
 - Will jobs be lost or severely modified as a result of the proposed change(s)?
 - Where will the initial and ongoing funding come from to support this effort?
 - Why are we funding this new program or approach in the first place when funding for existing programs and services is so limited?
- C Flexibility is a key factor to change, and comprises a "two-way street" in the context of new programs or approaches. Can the new program be adaptable to the needs of staff and clients? Can staff be adaptable to the changes brought by the new program? Flexibility must be facilitated as a core value of any change proposed or sought by an organization.

OVERLAP OF INTERNAL/EXTERNAL INFLUENCES

The external and internal factors cited above can simultaneously affect change. While there are seldom predictable patterns to factors affecting change, the one constant is that "change is not linear." A key to controlling negative factors affecting change, and encouraging positive factors, is to recognize the possibility that *each may exist*. When planning for change, the wide range of factors that *might* affect change should be identified. Furthermore, change agents should be aware that *real influences* are often less significant than *perceived influences*, i.e., what staff and stakeholders *think* might happen can be more serious than what *could* happen.

THREATS TO CHANGE

Threats or challenges to change emanate from two frameworks: individual and organizational. Both are equally important to address in planning for and facilitating change. And both are often interrelated to the point of "triggering" additional threats that overlap between the personal and professional.

How can these threats become advantages to change managers? The answer is quite basic: When possible threats to change are identified, validated, and addressed in the planning and implementation processes, they can be muted or even eliminated.

The following possible "threats" to change are based upon personal and organizational challenges that are evident from the history of the victims' rights discipline in America. While there are undoubtedly many other challenges to change, this list offers a framework that is specific to victim-serving agencies.

PERSONAL/INDIVIDUAL

- C What's in it for me?
 - New knowledge and skills?
 - Expanded career opportunities?
 - Does the proposed change fit my personal frame of reference?
- C How much control do/will I have through the change process?
- C Will I have input into the changes affecting my job, career, and organization?
- C Do I view the transformation that change will bring as *viable* and/or even *possible*?
- C Will I lose my job?
- C Will my job requirements change?
- C Will some co-workers have new advantages resulting from the change that I won't have?
- C How will (or *will*) this make my job easier?
 - Is there a development curve that requires extra work "up front," with the benefits perceived as being far in the future?
- C Will our staff structure remain the same?
 - Who's in charge?
 - To whom do I report?
 - Does "teamwork for change" equate to equal status among employees?
- C Will there be significant differences in how my performance is measured/evaluated?
- C Will I receive adequate training to utilize, participate in, and facilitate the proposed changes?
 - Orientation.
 - Continuing education.
 - Mentoring.
 - Skills building.
- C Who will have input into and access to the information that, until now, has been my responsibility?
- C If specific staff are assigned to plan and implement new programs, policies, or practices, who will assume their existing workload?
- C Are there new rules for confidentiality and information sharing? If so, how will they affect my workload?
- C If the change involves technology, will that technology eliminate or diminish the "human touch" that is core to a victim-serving agency?

ORGANIZATIONAL

- C Do we *really need* this new program, policy, or practice?
- C How are (or even *are*) staff motivated to accept this change, and be part of its transition?
- C Are we prepared for the introduction of this proposed change?
 - Organizational readiness.
 - Individual readiness.
- C What are the ultimate goals and objectives of this effort, i.e. "the big picture"?
- C Who is making the decisions? How difficult is it to get a decision made about this program's application to staff, clients, the agency, and allied professional agencies?
- C Will funding for this new concept take away from funding for our existing victim services?
- C Are other victim service or allied justice agencies buying into this new approach? Is there a need to "keep up" with allied professionals in enhancing victim services through this approach?
- C Does our agency have the collective resilience needed to maintain and/or regain its equilibrium through the change process?

RESISTANCE TO CHANGE

If individuals or organizations are threatened by change, resistance is a predictable outcome. Change agents need to understand the underlying causes of resistance in order to better prepare for and address its effects.

Common resisters to change within a victim service organization might include the following:

- C *Comfort with the status quo.* Staff should be expected to be comfortable with "the way things are" and "the way things have always been," even if such approaches are not best for them, nor the organization. Any threat to this status quo that is not accompanied by a thorough explanation and "buy-in" of how "things could be" better through new approaches will produce individual and/or organizational resistance. Daryl Conner (1992) cites the one circumstance that motivates people to make and sustain a major change is "when they can no longer afford the status quo."

Humans are also "creatures of habit", and change often mandates changing old habits and adopting new ones. Individual and organizational routines and patterns are disrupted by change, and the transition to new, healthy habits can be difficult.

- C *Fear.* It is basic human nature to be afraid of the unknown. Fear can manifest itself through *overt* expression, or *covert* feelings that are never articulated. Change managers must identify and validate both types of fear, and involve staff in increasing their understanding of known or expected outcomes and decreasing the possibility of the "unknown" aspects of change.

- C *Lack of knowledge.* As Peter Senge observed in his book *The Fifth Discipline*, "The structures of which we are unaware hold us prisoners." The more staff know about change, why it is needed, and what it will ultimately bring, the less likely they are to resist it.
- C *Lack of time and resources.* The irony of investing in new approaches that ultimately save time, as contrasted with the initial investment of time and human resources needed to manifest time-saving changes, is not lost on victim service agencies. Change management works hand-in-hand with time management. As Green Bay Packer football legend Vince Lombardi explained, "I never lost a game. I just ran out of time on a few occasions."
- C *No belief in the advantages of change.* Unless staff "buy the benefits" of change, they are likely to resist or even fight it. Advantages should be defined in both the personal context as well as the overall benefits to the organization and its programs and services.
- C *Role conflict.* If new programs, policies, or practices change individuals' roles and responsibilities within an organization, then conflicts can ensue as a result. Such changes must be identified in concert with affected staff, with their concerns validated and addressed in a meaningful way.
- C *Keeping up with change.* Change in victim service agencies often moves quickly and, as such, staff must receive resources to help them keep up with the speed of change. Included are revised policies, ongoing training, and continual opportunities for communication about the change and its outcomes. This can prevent "future shock," a phrase first coined by Alvin Toffler in 1965, which he defined as "the shattering stress and disorientation that we induce in individuals by subjecting them to too much change in too short a time."

THE "20 PERCENT RULE"

Change management consultant and author David Hutton offers the "20 percent rule" for the types of reactions you can expect within any group of people when they are beginning to embark on change:

A few people (say 20 to 30 percent) will quickly become committed enthusiasts and standard-bearers for the new order. A few people (say 20 to 30 percent) will never accept the changes and will fight tooth and nail against them. This campaign may be conducted overtly or covertly, crudely or with style—but it will be fought.

The remainder of the group will usually go with the flow; that is, their support (or resistance) will be more passive. They may be very vocal in supporting the program, or any other initiative that their boss seems to favor. They may even truly believe themselves to be very committed, but their actions will demonstrate that they have other priorities.

No two situations are alike, but this is a typical pattern of response. If you can see a few strong proponents emerging in key places, then the process is working well. You should not expect more than this at first. Fortunately, a few committed enthusiasts are all that's required to get the process started—provided the leader is one of these. (Hutton 1997, 4)

Hutton believes the "20 percent rule provides a clue to one of the key strategies for managing change":

If there is one "secret" that can be truly liberating for the change agent, it is this: *You do not have to spend a lot of time and effort on those who strongly resist change. You only have to help and protect those who want to change, so that they are able to succeed.*

Put another way, the leader's job is not to plant the entire forest, row by row—it is to plant clumps of seedlings in hospitable places and to nurture them. As they mature, these trees will spread their seeds, and the forest will eventually cover the fertile land. The rocks will, of course, remain barren regardless (Ibid., 5).

TYPICAL EARLY REACTIONS TO CHANGE

Six typical early reactions to change, most of which call for some kind of response from the change agent and/or other senior managers, are identified by Hutton (1997, 5-7):

ENTHUSIASM AND INVOLVEMENT

Enthusiasts are the flag bearers for change—they make success possible. They need to be nurtured and supported to ensure that they succeed, and protected from opposition or sabotage by others. They also need to be recognized for their contribution, and held up as a positive example to encourage others.

SKEPTICISM AND CYNICISM

Many people will at first dismiss the new initiative as yet another "fad," following the well-worn pattern of many previous initiatives. Their disdain of senior management's inconsistency may be barely concealed.

Some open opposition comes from *skeptics*. These people often exert considerable influence over their peers because they are sincere, outspoken, and demonstrate the courage of their convictions. However, these individuals are not necessarily opponents—they may turn around and become the strongest supporters if they are convinced that management is sincere and committed.

There may also be a few others, best described as *cynics*, who are chronic naysayers and malcontents. These people can be distinguished from the skeptics by the fact that they can offer no positive suggestions about what should be done. The leader should not worry too much about these individuals—they have little influence because many of their coworkers find their attitude as irritating as the leader does.

APATHY

Some employees may demonstrate complete apathy. They may ignore what is going on and show no interest or desire to get involved in making things better.

There is no instant solution to apathy. This frame of mind is the individual's personal choice—perhaps as a way of insulating them from a working environment where their views don't seem to count.

When leaders encounter this reaction, they need to be patient and to keep talking with their people, listening for the issues that arouse emotion and energy. By taking these issues seriously and, when possible, involving these people in developing solutions, the leader can channel this energy into useful action and involvement.

LIP SERVICE AND BACKSLIDING

Some people will give the appearance of enthusiastic support, but will fail to deliver. They will repeatedly miss commitments because of unexpected events and will plead for more time. They may be apologetic, but the unspoken message is that they have other higher priorities.

Those who give lip service but don't deliver usually belong to the middle 60 percent—those who will tend to "go with the flow." These people need to be held to their commitments and convinced that their actions will have consequences. As the process unfolds and the enthusiasts demonstrate successes, the pressure to get on board increases progressively. In the end, everyone has to face the choice of getting on board or getting out.

At the same time, management has to be listening and looking for the barriers that are impeding these individuals. All the pressure in the world cannot make people want to do something when they don't understand why—or make them able to do something when they don't know how.

ANGER AND FRUSTRATION

Often, management's initial attempts to open up communications result in a deluge of vocal, emotional, and perhaps unreasonable complaints. Managers may be frightened by a sense of losing control—for example, if a meeting designed to create a dialogue turns into a free-for-all.

Initial attempts to create two-way communications are often like opening a floodgate. If someone asks your opinion for the first time in 15 years, you may have a lot to say before you get it all off your chest.

It is important to prepare managers for their new role, including situations like these. Efforts to open up two-way communication with employees often trigger strong reactions. Managers need new skills to encourage employee participation, and to channel in constructive directions the energy that is released by doing this.

Training is usually essential; for example, in skills such as listening, accepting feedback, encouraging diversity, and managing conflict. It also helps greatly if middle managers first seek these behaviors modeled by top management.

MALICIOUS COMPLIANCE OR SABOTAGE

A few who are opposed to the change may follow orders in such a mechanical and unthinking fashion that the initiative is certain to go nowhere within their areas. Or some managers may make it clear to their people that, regardless of what other messages they may be getting, business as usual will continue in this department—their people are forbidden to waste time on this latest craze, but told to "get on with their work."

Like the backsliders, these people need to be brought into line and ultimately given the choice of buying in or getting out. This can usually be done progressively in a way that gives the individuals concerned time to change their minds. Occasionally, immediate decisive action will be required to prevent an influential opponent from undermining the whole process.

THE STRONG CHANGE AGENT

Change may be welcome and desired. Change may be encouraged or even forced on individuals or entities by outside forces. Change is complex and never linear. Change disrupts the status quo. Resistance to change is common, and to be expected.

In other words, *change is challenging*. And the many challenges posed by technological changes to victim service agencies require the vision, skills and perseverance of a strong change agent. The success of change is largely dependent on clear and consistent leadership throughout the change process.

In the victims' rights discipline, there are nine critical elements necessary for a strong change agent:

INVESTMENT

The future belongs to those who prepare for it. — Ralph Waldo Emerson

"Investment" in change emanates from a recognition that things can work better if done differently; that the process of change, while difficult, will make things for an organization less difficult in the long run; and that change is fraught with challenges, difficulties, and barriers—all of which can be overcome if the intent and investment are clear and consistent. Investment can also come from sudden and unexpected events: the trauma of victimization that propels a person into an activist role; a crime that occurs with an outcome that is not in sync with community or social mores; or the development of new approaches that result from exposure to practices that hold promise for victim services, support, and assistance.

When people "invest" in a new concept or idea, they usually do so with a belief that they can make a difference, and that their investment will result in positive change. Their motivation may be personal, professional, or a combination of both. Regardless of the motivation, the expected outcome of the investment is positive change. Without investment, there can be no foundation for change.

VISION

Do not go where the path may lead; go instead where there is no path and leave a trail.

— Ralph Waldo Emerson

"Vision" recognizes that the status quo is no longer acceptable. In the pioneer days of America's victims' rights discipline, there was a shared vision of "victim justice" that remains today as the "new" status quo: that victims should be afforded dignity and respect; that justice processes can be victim-centered as well as offender-directed; and that communities as well as individuals are hurt by crime, and need to be involved in prevention, interventions, and victim assistance. Vision requires courage, commitment, and a willingness to consider the "big picture" as well as snapshots of crime and its consequences.

CONNECTION

Put two minds in a room and create a third. — Unknown

There are many different approaches to preventing and responding to crime and victimization. While victim service providers have much to offer in the way of solutions, they also have much to gain by connecting with, and listening to, other who share concerns about crime and victimization. Some of the most significant successes in our nation's victims' rights discipline have resulted from partnerships that at one time might have seemed unlikely but today are necessary for success.

DEDICATION

Flood your life with ideas from many sources. Creativity needs to be exercised like a muscle; if you don't use it, you lose it.

— Brian Tracy in *The Seven Cs of Success*

Change agents must believe not only in change, but in the hope or belief that it can make a positive difference in the lives of victims and others who are affected by crime. They must be willing to identify and overcome barriers to change; provide support and mentoring to colleagues who may be challenged by the core elements of change; and be committed "for the long haul."

KNOWLEDGE

The greatest discovery of my generation is that human beings can alter their lives by altering their minds.

— William James, Philosopher

Since the core elements of change include evolution and transformation, the knowledge base one possesses while entering a change situation also evolves and transforms. New information, data, facts, stakeholders, partners, and ways of looking at things are critical to implementing and facilitating change. The many assets of "the Information Age" ease the process of gaining knowledge on a continual basis. Strong change agents not only seek and utilize new knowledge but also make a point of sharing it with others involved in the change process.

PERSISTENCE

It is not the strongest of the species that survives, nor the most intelligent, but the ones most responsive to change.

— Charles Darwin

Success seldom occurs overnight. Often, more people are resistant to change than those who are willing to embrace it. Persistence is a key factor to ensuring that change is neither incremental nor incidental, but permanent and productive.

PRIORITIES

Nothing will ever be attempted if all possible objections must first be overcome.

— Jules Lederer, American businessman

The process of change can equate to juggling balls, trying to keep many afloat at the same time without "dropping the ball." Yet the "balls" of change are seldom equal weight; some must take precedence over others. A strong change agent establishes, shares, and maintains priorities that provide the ultimate foundation for change.

OBJECTIVITY

Better bend than break. — Scottish proverb

When one keeps an eye on the ultimate destination, it is easy to lose sight of the detours along the way. Rigidity is one of the potential weaknesses of change agents. A strong change agent is always open to new ideas, approaches, and processes that can either augment the stated goal and objectives, or revise them in ways that are more productive. Flexibility and a willingness to diverge from original plans are key assets for change agents.

NO FEAR

Fear is that little darkroom where negatives are developed. — Michael Pritchard

Change evokes fear in many people. A strong change agent recognizes this, seeks to mitigate fear in others, and, at the same time, reduces opportunities for fear through careful planning; identifying and addressing sources of fear; involving all individuals who will be affected by the change; and providing leadership that evokes confidence and commitment from key stakeholders.

Daryl Conner (1992) identifies thirteen essential elements for a good change sponsor:

1. *Power*: the organizational power to legitimize the change with targets.
2. *Pain*: a level of discomfort with the status quo that makes change attractive.
3. *Vision*: a clear definition of what change must occur.
4. *Resources*: a thorough understanding of the organizational resources (time, money, people) necessary for successful implementation and the ability and willingness to commit them.

5. *The Long View*: an in-depth understanding of the effect the change will have on the organization.
6. *Sensitivity*: the capacity to fully appreciate and empathize with the personal issues that major change raises.
7. *Scope*: the capacity to understand thoroughly the size of the group to be affected by change.
8. *A Public Role*: the ability and willingness to demonstrate the public support necessary to convey strong organizational commitment to the change.
9. *A Private Role*: the ability and willingness to meet privately with key individuals or groups to convey strong personal support for the change.
10. *Consequence Management Techniques*: preparation to reward promptly those who facilitate acceptance of the change or to express displeasure with those who inhibit it.
11. *Monitoring Plans*: the determination to ensure that monitoring procedures are established that will track both the transition's progress and problems.
12. *A Willingness to Sacrifice*: the commitment to pursue the transition, knowing that a price will most often accompany the change.
13. *Persistence*: the capacity to demonstrate consistent support for the change and reject any short-term action that is inconsistent with long-term goals.

THE TIPPING POINT

In *The Tipping Point*, a powerful book that examines the roots of social change, Malcolm Gladwell asserts that "ideas and products and messages and behaviors spread just like viruses do". The emergence of significant social changes can be viewed as "clear examples of contagious behavior" that are exposed to other people, who then become "infected" with the change (Gladwell 2000, 7).

Gladwell examined the significant drop in crime in New York City between 1992 and 1997—a 64.3 percent drop in murders, with total crimes decreasing by nearly half. He believes that there are three key elements that contributed to the rapid decrease in crime (Gladwell 2000, 7-8):

1. *Contagious behavior*: "What happened is that the small number of people in the small number of situations in which the police or the new social forces had some impact started behaving very differently, and that behavior somehow spread to other would-be criminals in similar situations. Somehow a large number of people in New York got 'infected' with an anti-crime virus in a short time."
2. *Little changes have big effects*: "All of the possible reasons for why New York's crime rate dropped are changes that happened at the margin; they were incremental changes."

The crack trade leveled off. The population got a little older. The police force got a little better. Yet the effect was dramatic."

3. *Change happens not gradually, but at one dramatic moment.* "Crime did not taper off. It didn't gently accelerate. It hit a certain point and jammed on the brakes."

In examining social change, Gladwell notes that "the third trait—the idea that epidemics can rise or fall in one dramatic moment—is the most important, because it is the principle that makes sense of the first two and that permits the greatest insight into why modern change happens the way it does. The name given to that one dramatic moment in an epidemic when everything can change all at once is the Tipping Point" (Ibid. 9).

"THE LAW OF THE FEW"

Gladwell identifies three types of "change agents" who are capable of initiating epidemics of change:

Connectors. People who—

- C Have a special gift for bringing the world together.
- C Know lots of people.
- C Are important for more than simply the number of people they know—their importance is also a function of the kinds of people they know.
- C Manage to occupy many different worlds and subcultures and niches.
- C By having a foot in so many different worlds, have the effect of bringing them all together.
- C Have "the strength of weak ties", i.e., the more acquaintances they have, the more powerful they are.

Mavens (from Yiddish—"one who accumulates knowledge"). People who—

- C Have information about a lot of different products or prices or places.
- C Like to initiate discussions with consumers and respond to requests.
- C Want to solve other people's problems generally by solving their own.
- C Solve his/her own problems—his/her own emotional needs—by solving other people's problems.
- C Have the knowledge and social skills to start word-of-mouth epidemics.
- C Want to help, for no other reason than they like to help.

Salesmen. People who—

- C Have skills to persuade us when we are unconvinced of what we are hearing.

- C Have strong communication skills that are often subtle, hidden, and unspoken.
- C Can quickly build a level of trust and rapport.
- C On some level, cannot be resisted.

CHANGE FACILITATION TECHNIQUES AND TOOLS

USEFUL TECHNIQUES

- C *Articulate and demonstrate the need for change.* The *message* and the *messenger* are equally important, as both must be respected and understood. The need for change must be meaningful for individuals as well as for the organization as a whole.
- C *Involve staff and key stakeholders in the change process.* This includes the assessment, research and development, planning, implementation, and evaluation stages.
- C *Offer incentives for change.* Tangible improvements for either individuals or agencies are strong incentives for change. However, incentives of a more personal nature—such as comp time, money, desirable titles, improved physical working environment, etc.—are also valued rewards for employees who embrace change in a positive manner.
- C *Build trust and understanding.* Trust must be built in three ways: (1) between the principal change agent and other employees; (2) among employees who are directly involved in and affected by the change; and (3) about the new program, policy, and/or practice that is creating the change.
- C *Encourage negative and positive input from staff and key stakeholders.* The best way to deal with resistance is to confront it head-on. Staff who are able and encouraged to voice negative and positive reactions to change provide opportunities for identifying resistance, validating critical concerns, and moving forward with input that can affect the very direction of change.
- C *Address uncertainty.* Ambiguity is a common side effect of change. The clearer an organization makes the change process and expected outcomes, the less skepticism will take hold.
- C *Value the "front line."* Regardless of the level at which change occurs in an organization, it is likely to affect everyone in both general and unique ways. The "front line" in an organization—which can include support staff, direct service providers, and volunteers—have important contributions to make to change processes. They are also likely to be more vulnerable to the impact of change; as such, special attention to their needs and opinions should be offered.
- C *Explain rationale for changes on an ongoing basis.* Regular updates and communications about the change process, accompanied by opportunities for input and revision as needed, are essential to maintaining individual and collective acceptance of change, and what it seeks to accomplish. Consistent staff communications—including superior/subordinate, peer/peer, and information from the outside—facilitate this process.

- C *Control uncertainty to the degree possible.* Identifying, understanding, and addressing internal and external factors affecting change as well as potential or real sources of resistance enhance the degree of certainty that change is good, and that change as planned can and will occur.
- C *Identify, monitor, and try to meet staff expectations and perceptions.* The outcomes staff expect from change are both *self-initiated* from one's personal frame of reference, and *other-initiated* from influences such as co-workers or individuals/factors outside of the organization. Regular "reality checks" of how change is affecting employees and their work from both perspectives are necessary to monitor, validate, and, in some cases, revise staff expectations. Recognition of the new and often quite different equilibrium—both personal and organizational—that change brings is key to avoiding upheaval in either people or processes affected by change.
- C *Measure change and its effects on a continual basis.* Strategic planning for change should be directly linked to measures that evaluate its success. Assessment outcomes (particularly those that differ from existing performance evaluation criteria) should be clearly defined, easy to measure, consistently monitored, and articulated to staff.
- C *Commitment and resolve are key.* The commitment of the principal change agent is not only critical; it must also be contagious. Expressed acknowledgment that "change is difficult" should be accompanied by a resolve to surmount any barriers to change, and to take advantage of the many opportunities the change offers both individuals and the organization.

TOOLS FOR FACILITATING CHANGE

Staff planning and strategic planning. There are many resources available that provide guidelines for strategic planning. For victim service organizations that are embracing change, however, a critical key to strategic planning is the involvement of *staff and key stakeholders*—at all levels of staffing and at all levels of the planning process. "Key stakeholders" are described by the National Criminal Justice Association as people who—

- C Are directly affected by the change.
- C Have the knowledge to affect change.
- C Have the technical expertise to affect change.

Mark Carey, Director of Dakota County Community Corrections in Minnesota, offers a twelve-step process for change action:

1. Gain information.
2. Provide introductory training.
3. Set up planning team(s).
4. Conduct organizational audit.
5. Determine readiness for change.

6. Provide additional, more targeted training.
7. Develop action plan.
8. Develop strategy and time lines.
9. Review and revise agency mission and outcome measures.
10. Redefine agency values, roles, supports, and expectations.
11. Review and revise job descriptions and reward system.
12. Evaluate new practices (Carey 1997).

Acknowledge problems, deficiencies, and challenges. While many potentially negative factors affecting change have been articulated throughout this chapter, the essential tool is acknowledgment that problems *can*, and *are* likely, to occur. Potential deficiencies can be reduced or eliminated through early detection, rapid intervention, and revisions in plans.

Focus groups. The use of focus groups to guide candid and meaningful discussions about new programs, policies, and practices, and the changes they bring, is a critical component of research, assessment, and planning processes. Focus groups can be conducted within an agency, with external stakeholders, or with a combination of both. This important tool provides an opportunity to educate participants about new programs, policies, practices and related changes; to receive feedback about participants' perceptions; and to alter the course of the change process as needed, based upon information gained through the focus group.

User groups. One of the best ways to measure and monitor change processes is to conduct a group process of the "end users" of new programs, policies, and practices. Also called joint application discovery (or JAD) sessions, user groups unite key stakeholders whose work will be most directly affected by proposed changes. Participants in user groups can be within one profession (all victim advocates or all judges), cross-profession (victim advocates, justice professionals, and other allied professionals), cross-jurisdictional (local, state, and federal), or a combination of the above, depending upon the scope of the new program, policy, or practice.

User groups serve a variety of purposes, including:

- C Providing an educational overview of the scope and nature of the overall project, its goals and expected outcomes.
- C Soliciting feedback about the project.
- C Providing essential input into how work/tasks are currently done, in order to facilitate a vision of how it can be enhanced through ideas and insights generated by key stakeholders.
- C Identifying common factors that must be addressed in designing and implementing new approaches, such as information sharing, record-keeping, and program evaluation.

Pilot projects. Although change may encompass a "big vision," it is sometimes wise to start small. The initiation of pilot projects, prior to "rolling out" more comprehensive programs and processes, allows entities and staff to easily identify and target problem areas, test solutions, monitor staff's adaptation to change, and make necessary revisions based upon feedback.

Consistent assessment and evaluation. The ability to "prove success" of new approaches and relevant changes is important to employee satisfaction, further development, and continued funding. "Measures of success" that are identified through the planning process, with consistent input from those whose performance and outcomes will be measured, help facilitate the evaluation process. A common mistake is to implement a new program with either no evaluation processes built into the design, or evaluation that occurs once a project is finalized or near completion.

Periodic assessments of the effectiveness of the new program or process, employee and client satisfaction, and achievement of expected outcomes can help agencies "trouble shoot" and build stronger involvement in and support for the change process.

Cross-agency task forces. If a change process involves multiple agencies, the early establishment of task forces for planning, implementation, and monitoring purposes is an important tool. While an administrative task force can oversee change processes at the highest levels, separate groups can address more specific issues, such as policies and procedures, common data elements necessary for technological applications, victim and/or offender confidentiality, user-friendly design of forms and brochures, and so on.

Training. If an agency understands the benefits and barriers of new programs, policies and practices—and the changes that will result—training should be designed not only to provide basic education about new approaches but also to address individuals' concerns. Training can be accomplished in a variety of ways, including but not limited to:

- C Orientation training.
- C Continuing education.
- C Use of mentors.
- C Specific skills building efforts that address individual employees' needs.

Technical support. The importance of technical support in change facilitation has been articulated as extremely important by numerous victim service providers. Identification of experts, mentors, demonstration sites, and technical advisors who can facilitate and support change initiatives is critical.

Information sharing. The speed at which changes occur in the victim assistance and criminal/juvenile justice disciplines today requires that victim service providers stay up-to-date

on new, cutting-edge approaches to victim services, justice practices, and community safety initiatives. Sessions at victim and allied justice conferences and educational forums, victim-specific news articles, and on-line access to new innovations are all essential to move the discipline of victims' rights forward with the most comprehensive knowledge about change and its many benefits for victims of crime and those who serve them.

THE CHALLENGE OF CHANGE FOR THE FUTURE OF THE VICTIMS' RIGHTS DISCIPLINE

Change is afoot, and most parties are resentful.

— A state-level victim advocate

While much change in the discipline of victims' rights and services cannot be predicted, there are some paths upon which this profession is embarking that clearly require change management leadership, skills, and vision. An informal survey of long-time victim advocates identified six key issues that will result in significant changes in the way victim service providers conduct business:

PROFESSIONALIZATION OF THE FIELD

Numerous long-time victim advocates spoke of the need to "professionalize" the field through standards and certification. Generally, they felt the process was critical, but also needed to be inclusive and respectful of the many advocates who enter this field with the primary "credential" of personal victimization. As one eight-year advocate noted, "Some fear that 'professionalization' means we cannot stay a 'movement' and that the experience of victimization itself will no longer be the expertise they are fighting to have it recognized as."

HIGHER EDUCATION

The emergence from a "movement" to a "discipline" requires professionals who have a strong educational foundation upon which to build leadership and victim assistance skills. Several national leaders emphasized the need for victim-specific programs in higher education. According to Ed Stout, "We need to focus major attention on introducing curriculum on victim issues into our universities and colleges—law schools, medical, theological, social work, mental health, etc." Stout believes such programs must be organized in a systematic and planned fashion. "We need to get control of the process, and not let others make decisions for the profession and impose their wills," he said.

NEW PARTNERSHIPS

Collaborative efforts have resulted in great strides for crime victims and those who serve them over the past thirty years. It can be argued that virtually everybody in the United States has a stake in crime and victimization issues and, as such, should be considered potential stakeholders in victim assistance initiatives.

Napa County Chief Probation Officer James Rowland emphasizes the need for "more collaboration among victim service organizations, as well as with justice system organizations." He believes that increased interest from victim service professionals in correctional policies and programs—including intensive probation services and the public safety benefits and the principles and programs of restorative justice—is vital to our collective future. Rowland also notes that "some victim organizations oppose or fail to support education and training programs for offenders. This is very short sighted in view of the 70 percent recidivism rate. Good programs can change (offender) behavior and reduce recidivism."

IMPLEMENTING EXISTING VICTIMS' RIGHTS

While there are over 30,000 statutes at the federal and state levels that define victims' rights, they are not always enforced. In many cases, remedies for victims are non-existent. The initial "change" sought by the passage of such laws becomes a moot point when concerted implementation is not enforced.

St. Louis City Victim Advocate Kathy Tofall believes "the priority has to be recourse and required training, as we have attorneys and judges entering the system who have little knowledge of victims' rights. . . . The original buy-in of judges, prosecutors, and other administrative types disappears as these folks move to other positions or retire. There could easily be a movement by folks who do not embrace the history of the victims' rights movement, and choose to accept proposed limits or restructuring of both the established rights and the implementation/services aspects." Tofall notes that "as we enlist new supporters to the cause, we need to focus on expanding the range of understanding of not only the rights of victims but also how the implementation of rights has created a more encompassing form of justice."

TAPPING TECHNOLOGY

The awesome benefits offered to victim advocates by technological advances are simply incredible. Technology can enhance the enforcement of victims' rights, provision of victim services; organization and case management; and information sharing within and among entities that assist victims. Yet technology changes with tremendous rapidity—changes that must be noted and harnessed by professionals who assist victims.

Lori Hayes, Director of the Vermont Center for Crime Victim Services, says the field must come to grips with the effects of technology. "I think for many reasons the advocacy world is not keeping up with these rapid changes, and we are getting dangerously behind," she said. "Future organizing efforts and ideas about the skills necessary to be an effective advocate need to assume technology skills."

CREATING THE NEXT GENERATION OF LEADERSHIP

Each one, teach one.

In the early days of the victims' rights movement, "mentoring" occurred naturally. Victim advocates relied greatly on other victim advocates for ideas, encouragement, and leadership. While there was no "world wide web" to facilitate rapid and widespread communications, the

number of professionals and volunteers in the field was much less than today; at any given conference, a large segment of the entire field could be present. Strong personal relationships created strong professional leadership.

Ed Stout sees "a growing interest in the field from various different professions." Yet he worries "that the focus on the next generation has been 'service-oriented' and not 'advocacy' or 'public policy' oriented. Stout notes that "the 'old buffaloes' who had to be advocates know that the three must go hand in hand," and wants to see "the same fire" exhibited by the "old buffaloes" in the new generation of "buffalo nickels" today. Florida attorney Jay Howell concurs, "We need to examine the role of advocacy in a movement that has turned into a profession."

California State University, Fresno professor Dr. Steven Walker says, "We need to start out simply—what are the basics of being a professional in both criminal/juvenile justice-based and community-based victim services? What are the commonalities?"

RESPECT FOR THE PAST, VISION FOR THE FUTURE

What is past is prologue. —William Shakespeare

Carved into the base of the statue "Future" in front of the National Archives Building in Washington, DC, this simple statement reflects on the importance of history in creating a vision for the future. Lori Hayes believes that "everyone in the field needs to have a solid understanding of the history of this work." Virtually anybody who has been in this discipline for over a decade concurs.

At the 2000 Wisconsin Victim Assistance Academy, the faculty presented a seminar entitled "The History of the Victims' Rights Discipline, a.k.a. The Bad Old Days." This tongue-in-cheek title gave way to a lively discussion of the early days when, as one speaker noted, "We called ourselves a '*movement*' because we knew if we ever quit *moving*, we would simply quit." Quiet reflection upon the days when victims were not allowed in courtrooms; when "victims' rights" were an oxymoron; and when victim services were few and far between is not only *helpful*, but *vital* to the future of this discipline. The lessons of the past are critical to the changes of the future. And the foundation our history provides gives strength and hope to our collective future.

CONCLUSION

While change may be inevitable, so are the many skills that are needed to facilitate it. Leaders in the discipline of victims' rights and services, have "surfed the waves of change" without drowning. Now, the challenge for the leader is to take the information from this chapter and, combining it with personal experiences, actively *lead* and *guide* his/her staff and allied professionals on the change journey that lies ahead. When change is viewed in terms of *opportunity*—and not *deficits*—it can be embraced as a welcome and necessary process that contributes to the very foundation of the field.

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EXAMPLES OF LEADERS AND MANAGERS

(1-2)

[Time Allotted: 30 Minutes]

The distinctions between leaders and managers are conceptual. They may be difficult to apply to your life without specific examples. In order to visualize clearly the distinction between manager and leader it is useful to picture people you know in these roles. Look to your own organization, corporation, agency, school, or primary identification group for people to consider.

CHART OF DISTINCTIONS BETWEEN MANAGER AND LEADER

MANAGER	LEADER
Administers	Innovates
Is a copy	Is an original
Maintains	Develops
Accepts reality	Investigates reality
Focuses on systems and structure	Focuses on people
Relies on control	Inspires trust
Has a short-range view	Has a long-range perspective
Asks how and when	Asks what and why
Has eye always on the bottom line	Has eye on the horizon
Imitates	Originates
Accepts status quo	Challenges status quo
Is classic good soldier	Is own person
Does things right	Does the right thing

Begin by making two lists. On the first chart, list the leaders in your organization or group and on the second, list the managers.

LEADERS	
NAME	POSITION
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	

MANAGERS	
NAME	POSITION
1.	
2.	
3.	
4.	

CHARACTERISTICS OF A GOOD LEADER

[Time Allotted: 20 Minutes]

LEARNING ACTIVITY

A faculty member will point out that there are six key "themes" or "characteristics" relevant to strong leadership in Chapter 1, *Principles of Leadership*:

1. Courage.
2. Commitment.
3. Passion for the work.
4. Knowledge.
5. Self-awareness.
6. Optimism.

While these will be discussed further throughout this session, this icebreaker is designed to have participants understand *how their own experiences and values affect what they think are the most important qualities in a strong leader.*

Prior to the session, post the six "characteristics" (printed on bright, colored paper) around the room. Ask participants to take *five minutes* to carefully consider "which *one characteristic* is most important for strong leadership," and to physically move to that poster.

Faculty will then facilitate a *fifteen-minute discussion* where each group "defends" its collective position and, if needed, discuss why some "characteristics" were not chosen by any participants.

Key themes are:

- C All these qualities are important—there is no "wrong answer."
- C Our background, values, and experience contribute to our choices.
- C There are different *individual* leadership styles that are addressed in Chapter 1.

MATERIALS NEEDED

- C Six posters—each with a leadership "characteristic"—posted on colored paper around the room.

NEGATIVE TOOLS

(1-18)

[Time Allotted: 40 Minutes]

LEARNING ACTIVITY

The purpose of this small group activity is to help participants consider the drawbacks and long-term affects of the three "negative tools" highlighted in Chapter 1.

A faculty member offers a *ten-minute* presentation on the three negative tools, encouraging three participants to give one example of each negative tool (based upon their experiences):

- C Closed-book management (keeping staff in the dark).
- C Leadership by fear.
- C Coercion (the "dictatorship").

Divide participants into three groups, with each group assigned one "negative tool" and provided with individual work sheets. Ask each participant to think about an experience in his/her lives when this "negative tool" was utilized and, drawing upon this experience, take *eight minutes* to complete the work sheet.

Give participants *thirteen minutes* to discuss their mutual, personal experiences (*this will be fun!*) and findings in their small group, and to develop *three general themes* about the problem(s) of using this negative tool as a leader. The three themes will be written onto an overhead transparency. Each group will determine a reporter.

Each reporter provides a three-minute overview to the full group about his/her group's findings and themes (*nine minutes*).

MATERIALS NEEDED

- C Participant work sheets.
- C Overhead transparency for reporting to full group.
- C Overhead transparency pens.

NEGATIVE TOOLS
PARTICIPANT WORK SHEET

CLOSED-BOOK MANAGEMENT	
SHORT-TERM EFFECTS <i>(POSITIVE AND NEGATIVE)</i>	LONG-TERM EFFECTS

NEGATIVE TOOLS
PARTICIPANT WORK SHEET

LEADERSHIP BY FEAR	
SHORT-TERM EFFECTS <i>(POSITIVE AND NEGATIVE)</i>	LONG-TERM EFFECTS

NEGATIVE TOOLS
PARTICIPANT WORK SHEET

COERCION	
SHORT-TERM EFFECTS (<i>POSITIVE AND NEGATIVE</i>)	LONG-TERM EFFECTS

GENERAL THEMES ABOUT THE EFFECTS OF *CLOSED-BOOK MANAGEMENT*

1.

2.

3.

GENERAL THEMES ABOUT THE EFFECTS OF *LEADERSHIP BY FEAR*

1.

2.

3.

GENERAL THEMES ABOUT THE EFFECTS OF *COERCION*

1.

2.

3.

NATIONAL INSTITUTE OF ETHICS GUIDELINES

(2-6 TO 2-7)

[Time Allotted: 60 Minutes]

LEARNING ACTIVITY

The purpose of this small group activity is to:

- C Have participants reflect on the practical applications of ethical behavior in their daily work situations.
- C Share these concepts with a small group.
- C Present three general themes to the full group for further discussion.

Ask students to refer to pages 2-6 and 2-7 of their manuals and review the list of eight things leaders can do to encourage staff to maintain a high level of ethical behavior (National Institute of Ethics). Pass out the individual work sheets—each of which has one NIE topic listed. Give participants *ten minutes* (on their own) to think about their own organizations, and to write down *three ways to practically apply* the NIE topics.

Then, utilizing the "Hit the Road, Jack" theme song, instruct participants to find the other two or three participants who are acting out the behavior listed on their work sheet. This will become their small group.

Each small group will spend another *ten minutes* developing *three common themes* among their responses; select a reporter; and prepare an overhead transparency for presentation to the full group.

For each of the eight topics, allow the assigned group five minutes to present their themes and engage the full group in an (hopefully) intense discussion about the practical applications of ethical behavior (*forty minutes*).

MATERIALS NEEDED

- C Individual work sheet.
- C Overhead transparency worksheet (make sure that *duplicate copies* are made of the attached worksheets onto overhead transparencies!).
- C Overhead transparency markers.
- C "Hit the Road, Jack" CD.

THREE WAYS YOU CAN
Convey a Sincere Interest in Others

1.

2.

3.

Wink Your Eye!

THREE WAYS YOU CAN
Satisfy the Needs of Subordinates

1.

2.

3.

High-five!

THREE WAYS YOU CAN
Develop an Organizational Commitment

1.

2.

3.

Snap Your Fingers!

THREE WAYS YOU CAN
Be Honest and Open in Dealings with Fellow Employees

1.

2.

3.

Flap Your Arms like a Chicken!

THREE WAYS YOU CAN
Allow Co-workers to Play An Active Role in Decision Making

1.

2.

3.

Clap Your Hands!

THREE WAYS YOU CAN
Provide Challenges and Responsibilities for Staff

1.

2.

3.

Twirl in Circles!

THREE WAYS YOU CAN
Convey Trust and Understanding

1.

2.

3.

Do the Hand Jive!

THREE WAYS YOU CAN
Assist in Personal Development

1.

2.

3.

Whistle!

SETTING BOUNDARIES

(2-15 TO 2-17)

[Time Allotted: 30 Minutes]

LEARNING ACTIVITY

The purpose of this small group activity is to generate discussions and solutions to "setting personal boundaries," based upon participants' personal experiences and values.

A faculty member divides participants into groups of five, and asks them to take *eight minutes* to read "Ownership: The Importance of Clear and Healthy Boundaries" and "Searching for Approval in All the Wrong Places: Failure to Strive for Wholesome Relationships with Self and Others" up to the case study of Beth and Vickie on page 2-17. The focus of this activity is the *case study*.

Challenge each group—based upon their individual personal experiences—to take *ten minutes*, and come up with five suggestions for how Beth and Vickie *could have* and *should have* set boundaries to accommodate the changes in their organization. These can be recorded on the group work sheet.

Then, facilitate a *twelve-minute* "round robin" reporting of each group's suggestions and record them on tear sheets.

MATERIALS NEEDED

- C Case study from Chapter 2.
- C Group work sheets.
- C Tear sheets.
- C Markers.

GROUP WORK SHEET

FIVE WAYS BETH AND VICKIE COULD HAVE *Set Boundaries*

1.

2.

3.

4.

5.

CASE STUDY

SETTING BOUNDARIES

Beth and her co-worker Vickie had worked together in establishing a unique program response to victims of sexual assault. The two colleagues considered themselves crusaders in providing quality service for specific types of crimes. They spent long grueling hours planning and implementing their program. The hours together created a bond that carried over into their personal lives. The two received public acclaim for their contributions to the field and as a consequence, a grant provided the opportunity to hire more staff and Beth was promoted into the position of director of the program. Vickie did not resent the promotion. However, their close friendship proved to be a problem for the newly hired staff, to the extent that Beth experienced major difficulties in retaining staff, based on accusations of favoritism, failure to include total staff in various projects, and a distorted assumption of project ownership.

Issues to consider:

- C Prior to the expansion of the program and her promotion, Beth's relationship with Vickie was typical of those shared by colleagues in the workplace environment. When the promotion and staff adjustments changed this, Beth failed to make the appropriate corresponding adjustment.
- C What did Beth need to know and understand about her role as a leader? What ethical issues were apparent in her behavior? Could Vickie have helped Beth in modifying their relationship?
- C Could Beth also have been struggling with some ego-related issues surrounding her special work with sexual assault victims? Could she have been possessive of the program and her relationship with Vickie and unwilling to bring others into the process? What are her ethical obligations in this situation?

QUALITIES OF LEADERSHIP

(2-5 TO 2-6)

[Time Allotted: 45 Minutes]

This exercise will enable you to explore and make explicit your experiences with the four qualities associated with trust. Self-reflection and awareness are the key to our lifelong ability to learn. Encouraging others to trust us requires personal action. It is not something an organization can mandate a person to do. In becoming a leader, you will want to commit yourself to being trustworthy and aligning your actions with your commitment. Reflection is the initial step in the process. It permits you to acknowledge your feelings, understand them, resolve your questions, and get on with your work. In this case your work is to win and maintain the trust of others.

The purpose of this exercise is to reflect on the qualities of leadership that elicit trust. To begin, refer back to the list of leaders that you identified in your life.

1. Review your list and add the names of others you may have thought of after completing the list. Eliminate the people you have come to consider managers rather than leaders. Number each person so you can place them on the diagram below.
2. This diagram below is a *socio-gram* that graphs social relationships. Begin by placing yourself at the center of the hub. Now add the names of leaders on the spokes coming out from the hub. The length of each spoke indicates the social distance between yourself and the particular leader designated by the spoke. For example, if you consider Gloria Steinem an important leader in your life and do not know her personally, put her on a spoke that is a greater distance from the center, such as Leader #4. If one of the leaders on your list is the man who leads your son's Boy Scout troop and you consider him a close friend, place him close to you (for instance, as Leader #2). If you consider yourself a leader, put a number for yourself on the chart at the hub.
3. Reflect upon the social distance of each person in the diagram from your position at the hub. What do you notice about the relationship between your position and others and among the various leaders on the chart? Are there any surprises? Do you notice any patterns? Observe the distance of leaders from you at the hub. Are these distances associated with gender, race, age, social class, or role?
4. Next, add the qualities of leadership that engender trust to the chart. In the space on the diagram beside each leader's number place the following designations:
 - V** for those who have and express an inspiring personal and professional vision.
 - E** for those who demonstrate the ability to empathize.
 - P** for those who have clear and consistent positions and use them to orient the organization.
 - I** for those who demonstrate integrity through ethical practices.

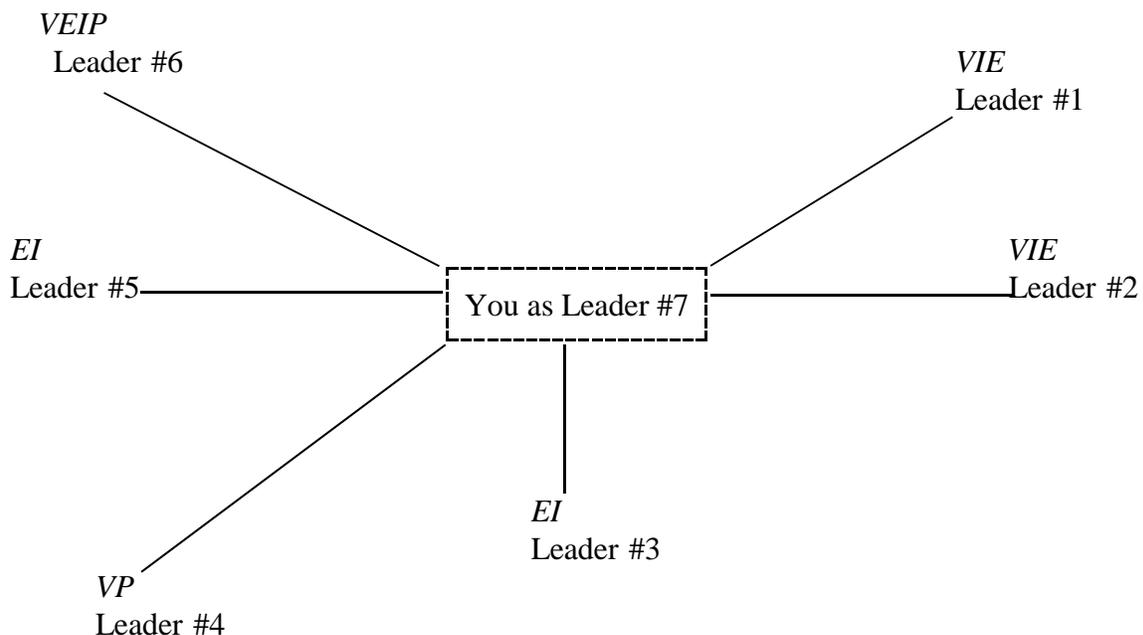
For example, if former Secretary of Defense Clark Clifford, long considered an American leader, were on your list, he might have a *V* for being a visionary, and a *P* for consistency

of positions for himself and his organizations. But with his involvement in the BCCI banking scandal, he might not have an *I* for integrity, or perhaps not an *E* for empathizing with the people who lost their savings because of the bank's dealings.

On the other hand, if Marian Wright Edelman, founder of the Children's Defense Fund and long-time advocate for children in poverty, were on your list, she might have all four letters next to her name. Your chart might look like the example below.

5. Reflect on your chart. What do you notice? Who are the leaders with integrity? Is there a pattern regarding leaders with vision? Are the leaders located closer to you the ones who express empathy?
6. Notice the relationships among the leaders on your chart. Can you connect lines between leaders who know each other? Do you notice any patterns among them? Who are the leaders who are related? Do they have characteristics in common?
7. What do you notice about trust? Who are the leaders on your chart that you trust the most? What are the characteristics that matter to you? Do you trust someone more if they empathize with you, or is their integrity more important to you? What does this exercise tell you about your own values?

SOCIO-GRAM OF SOCIAL RELATIONS WITH LEADERS



(The preceding learning exercise is adapted from *Learning to Lead* by Warren Bennis and Joan Goldsmith, 1997, Perseus Books, Reading, Massachusetts.)

THE INTEGRITY GAP

(2-12)

[Time Allotted: 45 Minutes]

Below are the differences cited in the manual by Melissa Everett, Dr. John Mack, and Dr. Robert Oresick in *Re-Inventing the Corporate Self: The Inner Agenda for Business Transformation*. The authors found two types of executives, those they called "principled risk takers" and those they characterized as "conventional decision makers." They analyzed their interviews of twenty-four senior executives in publicly held corporations and discovered differences in three areas:

1. *Self-Consistency: Wholeness or Compartmentalization.* Did individuals see life as an integrated whole in which their beliefs applied to work as well as to church groups, volunteer organizations, and values at home?
2. *Personal Efficacy: High or Limited Sense of Agency.* Did individuals have a sense of power and control in their work life so that they believed they could take action to express their values?
3. *Scope of Awareness: Global or Circumscribed.* Did individuals see themselves as global citizens with responsibilities that are larger than their own corner of the world?

In this exercise you will need a partner. Your partner's job is to interview you by asking questions that will enable you to discover where you stand with regard to being a "principled risk taker" or "conventional decision maker."

No one is completely one type or another. We are all combinations of both. But this exercise will let you know where you stand in terms of your own "integrity gap," so you can make informed choices about your actions in relation to your commandments.

The interviewer begins by asking the questions below. If you think of other questions, add them to the list. She or he will write down your responses and give them to you for analysis. Do *not* think long and hard about each answer, but respond quickly and accurately. When you have completed the interview, change roles and you become the interviewer. When you have both been interviewed, read over your responses and share your observations and realizations with each other. When you and your partner have completed the interviews and analysis of your responses, you will have a picture of your integrity gap.

QUALITIES OF GOOD PROBLEM SOLVERS

(3-3)

[Time Allotted: 50 Minutes]

CASE STUDY

This small group activity is designed to help participants apply the "five qualities of good problem solvers" to a practical case scenario. Participants will be divided into five groups. A faculty member will present the following case scenario on an overhead slide to participants (*five minutes*):

You have been asked by the Chief Judge to lead a county-wide initiative to improve the management of restitution. Overall, the rate of restitution collections hovers around 20 percent for criminal offenders. It has never been a big priority for any of the criminal justice system agencies or leaders. Each agency involved has a tendency to "point the finger" at other agencies relevant to why collection rates are so low, and why restitution management has not been a priority.

The key stakeholders who the Chief Judge has invited to the first meeting include representatives from:

- | | |
|-----------------------------------|------------------------------------|
| C Law enforcement. | C Court administration. |
| C Pre-trial services. | C Probation. |
| C Prosecution and victim/witness. | C Community-based victim services. |
| C Defense bar. | C Crime victims. |
| C Judiciary. | C Offender advocates. |

LEARNING ACTIVITY

Each small group will be given a work sheet with one of the "five qualities of leaders with good problem solving ability." After reviewing the case scenario as a full group, instruct each sub-group to take *twelve minutes* to identify *up to* ten activities, tasks and tactics that reflect its "quality" that should be utilized in leading and managing the county-wide restitution project. A reporter from each sub-group will present its findings to the full group (*five minutes each*), with *eight minutes* allotted for facilitator processing.

MATERIALS NEEDED

- C Case scenario slide.
- C Group work sheets.
- C Tear sheets and markers for processing.

- 1. Good problem solvers *anticipate problems*. Problems are inevitable and good leaders anticipate them. Maxwell advises to have a positive attitude, but plan for the worse.**
-

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

2. Good problem solvers *accept the truth*. You can deny the problems or accept them and try to make them better. Denial only prolongs the agony. Be willing to look at the issues at hand honestly, accept responsibility and move forward.

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

3. Good problem solvers *see the big picture*. A good leader can't be overwhelmed by emotion and can't get bogged down with details. It is helpful, however, to have a trusted colleague to help ferret out the details. However, a good leader must have a vision of the future, and be able to *see and articulate* where the organization can be in five or ten years.

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

4. Good problem solvers *handle one thing at a time*. Any attempts to try and manage all of the problems at once is too overwhelming. In other words, "Eat the elephant one bite at a time."

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

5. Good problem solvers *don't give up a major goal when they're down*. They see life as a roller coaster—sometimes up and sometimes down. They don't give up on their vision just because some glitches occur.

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

CONFLICT-BASED PROBLEM SOLVING

Dialectical Inquiry

(3-14)

[Time Allotted: 70 Minutes]

LEARNING ACTIVITY

Faculty will utilize overhead slides to provide an overview of creative problem solving through dialectical inquiry/debate.

Participants will be divided into two sub-groups. *Note:* Each sub-group will take its morning/afternoon 15-minute break while the other sub-group is problem-solving.

CASE STUDY (*PROBLEM TO BE SOLVED*)

Recent survey data from your county indicate that only eight percent of rape cases are being reported to law enforcement. Of particular concern is under-reporting on your local university campus, as well as among women of color.

Your group—consisting of law enforcement, prosecution, and rape crisis center representatives—needs to develop *five* recommendations to address this problem in *fifteen minutes*.

FACILITATOR GUIDELINES

1. Utilize overhead slides to introduce the concept of dialectical inquiry as a *structured conflict resolution process (ten minutes)*.
2. Instruct Sub-group One to complete its worksheet; make a duplicate copy for Sub-group Two; make an overhead slide; and select a reporter. Allow *fifteen minutes*, with Sub-group Two taking its break.
3. Instruct Sub-group Two to complete its worksheet; make a duplicate copy for Sub-group One; make an overhead slide; and select a reporter. Allow *fifteen minutes*, with Sub-group One taking its break.
4. Each sub-group's reporter presents its facts, assumptions and recommendations to the full group (*five minutes each*).

5. Both plans are debated (*ten minutes*), with a goal of exposing hidden and/or faulty assumptions.
6. Once the debate is completed, the full group should take *ten minutes* and agree on which assumptions are most plausible, and develop and/or fine-tune the recommendations based on these surviving assumptions (recorded by facilitator on a tear sheet).

MATERIALS NEEDED

- C Overhead slide presentation.
- C Sub-group work sheets.
- C Sub-group overhead transparency work sheet.
- C Tear sheets.
- C Markers.

DIALECTICAL INQUIRY GROUP EXERCISE: SUB-GROUP ONE

Recent survey data from your county indicate that only eight percent of rape cases are being reported to law enforcement. Of particular concern is under-reporting on your local university campus, as well as among women of color.

Your group—consisting of law enforcement, prosecution, and rape crisis center representatives—needs to develop *five* recommendations to address this problem *in 15 minutes*. Utilize *the first two columns of this work sheet* to record your assumptions and recommendations, and prepare an overhead slide (provided by faculty) that includes the same information. Prepare an extra copy for Sub-group Two.

<i>SUB-GROUP ONE</i>		<i>SUB-GROUP TWO</i>	
KEY ASSUMPTIONS AND FACTS	RECOMMENDATIONS	COUNTER-ASSUMPTIONS AND FACTS	COUNTER-RECOMMENDATIONS
1.	1.	1.	1.
2.	2.	2.	2.
3.	3.	3.	3.
4.	4.	4.	4.
5.	5.	5.	5.

DIALECTICAL INQUIRY GROUP EXERCISE: SUB-GROUP TWO

Recent survey data from your county indicate that only eight percent of rape cases are being reported to law enforcement. Of particular concern is under-reporting on your local university campus, as well as among women of color.

Your group will review the five key assumptions, facts and recommendations developed by Sub-group One, and develop five counter-assumptions, facts and recommendations to address this problem *in 15 minutes*. Utilize the last two columns of this work sheet to record your assumptions and recommendations, and prepare an overhead slide (provided by faculty) that includes the same information.

<i>SUB-GROUP ONE</i>		<i>SUB-GROUP TWO</i>	
KEY ASSUMPTIONS AND FACTS	RECOMMENDATIONS	COUNTER-ASSUMPTIONS AND FACTS	COUNTER-RECOMMENDATIONS
1.	1.	1.	1.
2.	2.	2.	2.
3.	3.	3.	3.
4.	4.	4.	4.
5.	5.	5.	5.

PRESENTATION SLIDE: SUB-GROUP ONE

KEY ASSUMPTIONS & FACTS	RECOMMENDATIONS
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

PRESENTATION SLIDE: SUB-GROUP TWO

KEY ASSUMPTIONS & FACTS	RECOMMENDATIONS
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

CONFLICT-BASED PROBLEM SOLVING

Devil's Advocacy

(3-14)

[Time Allotted: 30 Minutes]

LEARNING ACTIVITY

A faculty member asks participants to articulate the meaning and purpose of "devil's advocacy." Key points might include:

- C Presenting two sides of an issue.
- C Trying to anticipate *why* and *how* others might disagree on a position.
- C Constructively arguing about the merit(s) of each position.
- C Reaching some consensus on a solution.

Allow *five minutes* for this full group discussion, and record participants' input on a tear sheet.

Divide the full group into four sub-groups. Two sub-groups will take one side of the issue addressed in the case study; brainstorm positions for *seven minutes*; record their findings on the group work sheet; and elect a reporter to present the sub-group's findings to the full group.

CASE STUDY

Your juvenile justice system is debating the value of written victim impact statements (through pre-sentence investigations) and oral victim impact statements (in court) at adjudication hearings of juvenile offenders, and there are clearly two opinions on the issue.

Sub-groups One and Two:

Victims of juvenile offenders; victim advocates; a judge; the Chief Probation Officer; and a representative from an insurance company.

Sub-groups Three and Four:

Parents of juvenile offenders who are going through the adjudication process; a judge; and probation officers from the assessment division who complete pre-sentence investigations for the juvenile court.

FACILITATOR PROCESSING

1. Reporters from Sub-groups One and Two present their findings, alternating to avoid duplication (*five minutes*).
2. Reporters from Sub-groups Three and Four present their findings, alternating to avoid duplication (*five minutes*).
3. The facilitator guides a group discussion—avoiding an outright brawl!—that encourages participants to:
 - C Identify and evaluate general assumptions of each sub-group.
 - C Identify faulty assumptions of each sub-group.
 - C Allows members of each sub-group (particularly Three and Four) to adjust their recommendations based upon valid criticisms of the other two "devil's advocates" groups (*eight minutes*).

MATERIALS NEEDED

- C Tear sheets and markers.
- C Sub-group work sheets.

DEVIL'S ADVOCACY

SUB-GROUPS ONE AND TWO

Your juvenile justice system is debating the value of written victim impact statements (through pre-sentence investigations) and oral victim impact statements (in court) at adjudication hearings of juvenile offenders, and there are clearly two opinions on the issue.

Your group (through role play) includes: victims of juvenile offenders; victim advocates; a judge; the Chief Probation Officer; and a representative from an insurance company.

Please list *up to ten facts* that support your position:

WHY VICTIM IMPACT STATEMENTS ARE A <i>GOOD</i> IDEA
1.
2.
3.
4.
5.
6.
7.
8.
9.
10.

DEVIL’S ADVOCACY

SUB-GROUPS THREE AND FOUR

Your juvenile justice system is debating the value of written victim impact statements (through pre-sentence investigations) and oral victim impact statements (in court) at adjudication hearings of juvenile offenders, and there are clearly two opinions on the issue.

Your group (through role play) includes: parents of juvenile offenders who are going through the adjudication process; a judge; a community-based juvenile offender advocate; and probation officers from the assessment division who complete pre-sentence investigations for the juvenile court.

Please list *up to ten facts* that support your position:

WHY VICTIM IMPACT STATEMENTS ARE A <i>BAD</i> IDEA
1.
2.
3.
4.
5.
6.
7.
8.
9.
10.

CREATIVE PROBLEM SOLVING

The Need for a Positive Approach

(3-4 TO 3-5)

[*Time Allotted: 30 Minutes*]

LEARNING ACTIVITY

Faculty should refer participants to pages 3-4 and 3-5 of the Manual.

Presentation

Utilizing an overhead slide, a faculty member provides a short presentation on how to improve spirit among people who work for you (from *Supervising and Managing People*, First Books for Business, 1996) (*ten minutes*)

Small Group Discussion

Facilitators divide participants into six sub-groups. Utilizing individual work sheets, each group identifies *five ways* to "improve team spirit among people who work for you," based upon their assigned "guideline." (*ten minutes*)

Each group assigns a reporter to articulate the sub-group's "best (one) way to improve team spirit among people who work for you"—recorded by facilitators on a tear sheet. (*ten minutes*)

MATERIALS NEEDED

- C Overhead slide presentation.
- C Participant work sheets.
- C Tear sheets and markers.

IMPROVING TEAM SPIRIT AMONG PEOPLE WHO WORK FOR YOU

Please list five ways to improve team spirit, based upon the following guideline derived from *Supervising and Managing People* (First Books for Business 1996):

1. *Select People Who Are Right for Your Organization.*

WAYS TO IMPROVE TEAM SPIRIT
1.
2.
3.
4.
5.

IMPROVING TEAM SPIRIT AMONG PEOPLE WHO WORK FOR YOU

Please list five ways to improve team spirit, based upon the following guideline derived from *Supervising and Managing People* (First Books for Business 1996):

2. Work to Create a Supportive Environment for Your Team or Staff.

WAYS TO IMPROVE TEAM SPIRIT
1.
2.
3.
4.
5.

IMPROVING TEAM SPIRIT AMONG PEOPLE WHO WORK FOR YOU

Please list five ways to improve team spirit, based upon the following guideline derived from *Supervising and Managing People* (First Books for Business 1996):

3. *Challenge Your Team or Staff to Help the Organization as a Whole.*

WAYS TO IMPROVE TEAM SPIRIT
1.
2.
3.
4.
5.

IMPROVING TEAM SPIRIT AMONG PEOPLE WHO WORK FOR YOU

Please list five ways to improve team spirit, based upon the following guideline derived from *Supervising and Managing People* (First Books for Business 1996):

4. *Create a Unique Team or Staff Identity.*

WAYS TO IMPROVE TEAM SPIRIT
1.
2.
3.
4.
5.

IMPROVING TEAM SPIRIT AMONG PEOPLE WHO WORK FOR YOU

Please list five ways to improve team spirit, based upon the following guideline derived from *Supervising and Managing People* (First Books for Business 1996):

5. Encourage Your Staff or Team to Use its Initiative and Creativity.

WAYS TO IMPROVE TEAM SPIRIT
1.
2.
3.
4.
5.

IMPROVING TEAM SPIRIT AMONG PEOPLE WHO WORK FOR YOU

Please list five ways to improve team spirit, based upon the following guideline derived from *Supervising and Managing People* (First Books for Business 1996):

6. *Make Your Team or Staff Accountable.*

WAYS TO IMPROVE TEAM SPIRIT
1.
2.
3.
4.
5.

SWOT ANALYSIS

(3-16 TO 3-17)

[Time Allotted: 30 Minutes]

LEARNING ACTIVITY

A faculty member facilitates an overhead slide presentation that highlights the key SWOT concepts—including its use in problem solving and strategic planning (*ten minutes*):

- C Strengths.
- C Weaknesses.
- C Opportunities.
- C Threats.

The following case scenario is presented to the full group (on an overhead transparency):

CASE SCENARIO

There are over 30,000 statutes in all fifty states that provide for victims' rights and services (including hundreds in your states). However, many of these rights and services are *not* being implemented in a consistent manner.

Using SWOT analysis (on individual worksheets), please identify the major strengths, weaknesses, opportunities, and threats you face in implementing victims' rights and services (*eight minutes*). You may find it helpful to refer to pages 3-16 and 3-17 of your manual for guidance.

FACILITATOR PROCESSING

Utilizing prepared tear sheets with each of the four SWOT categories, facilitate a "round-robin" discussion among participants of strengths, weaknesses, opportunities, and threats (*twelve minutes*).

MATERIALS NEEDED

- C Overhead slide presentation.
- C Participant work sheets.
- C Prepared SWOT tear sheets (with headings) and markers.

SWOT CASE SCENARIO

There are over 30,000 statutes in all fifty states that provide for victims' rights and services (including hundreds in your states). However, many of these rights and services are *not* being implemented in a consistent manner.

Using SWOT analysis (on your individual worksheets), please take *eight minutes* to identify the major strengths, weaknesses, opportunities, and threats you face in implementing victims' rights and services.

You may find it helpful to refer to pages 3-16 and 3-17 of your manual for guidance.

VICTIMS' RIGHTS IMPLEMENTATION AND COMPLIANCE

SWOT

STRENGTHS	WEAKNESSES

VICTIMS' RIGHTS IMPLEMENTATION AND COMPLIANCE

SWOT

OPPORTUNITIES	THREATS

INTERACTIVE EXERCISES FOR CREATIVE PROBLEM SOLVING

All of us have dealt with problems. We have all faced what seemed like an insurmountable barrier to a service we were trying to provide. Whether the barrier was enough money, enough staff, a hard-nosed policy, difficult co-workers, the workflow within the office, or some other obstacle, we struggled to find the answer. The following are some situations that require problem-solving skills. Using the messages from this text and keeping openness and innovation in mind, creatively process, as a group, the problems listed here.

After reviewing and assessing the problems, make every effort to throw out old ideas, assumptions, and stereotypes, and utilize the group process to creatively solve the problems. Use your intuition and create new avenues for those constant problems that emerge.

Problem 1

Your domestic violence shelter has tried to keep its location anonymous but more and more people have somehow received word of its location. How can you keep your residents safe and deal with the knowledge that the location of your shelter has become common knowledge?

Problem 2

Your staff at the Victim Compensation Fund is complaining that too many claims are coming in to process. There is no more money to hire new staff but there is money to improve processes or improve technology. How can claims continue to be processed in an efficient manner with the increase in claims received?

Problem 3

Your child advocacy center is up and running and your multi-disciplinary team is in place. However, very few referrals are coming into the program and very few victims are being served. You know statistically that the abuse is occurring so that the shortage is not in the people needing the help, but in the referrals coming into the program.

Problem 4

You are the Victim Service Officer in a District Attorney's Office and part of your role is to help victims receive restitution. The Assistant DAs do not accept the idea that collecting restitution is a part of their job, nor do the Clerks or the Probation Officers. However, you realize that if victims are going to get the restitution they deserve, a workable solution must be found.

Problem 5

You are the director of a one-person non-profit organization that provides direct services, information, and resources to victims of family violence. Your organization's limited funding does not provide for your own training needs. You want to keep abreast of the changes in the field and explore ways to expand your organization. What options do you have?

ROADBLOCKS TO CREATIVE PROBLEM SOLVING

(A Guided Imagery Exercise)

(3-4 TO 3-7)

[Time Allotted: 45 Minutes]

Labeling an action or person a "failure" is an arbitrary decision that you or someone else made sometime in the past. You or others then attached meanings, associations, decisions, and feelings to the concept of failure. In the present, you can transform your past associations, ideas, and decisions about failure to ones that are more useful to becoming a leader. Rather than getting stuck, feeling depressed, denigrating yourself, or using the even as evidence of your low self-worth, consider an alternative: Failure is an opportunity to learn, to change course, and to discover new options for yourself.

Each of us makes many mistakes in the course of each day. Some we notice because we are sensitive to a particular mistake or because someone has called attention to it. However, we have an opportunity to change our view of failure. We have a choice: We can consider each mistake a natural part of life from which we can learn and grow, or we can use failure as evidence of our lack of self-worth.

David Hare, the playwright, told a wonderful story about Joe Papp, impresario and director of the New York Shakespeare Festival, at a memorial for Papp just after his death in November 1991:

The greatest thing Joe ever did was when we did "The Knife." There was a party afterward and the reviews were read. The *Times* review was absolutely dismal. He read it out line by line and the whole room went completely silent. It meant that we had lost over a million dollars. At the end he said, "That is not what I call a good review." Then he turned to me and said, "What do you want to do in my theater next?"

Following the guided imagery exercise, share what you have learned from the exercise with your small group. You may have had a number of insights, images, and feelings come to the surface in this exercise. It is now time to take a look at the origins of your views on failure and how they affect your current life. Discuss with your partner or small group the insights that you gained from your greatest failure by responding to the following questions.

1. What were the messages about failure in your family? What messages were sent to you? What messages were sent to others?

OPENING ICEBREAKER: DAY ONE

SETTING GROUND RULES FOR A TEAM INITIATIVE (4-15)

[Time Allotted: 15 Minutes]

PRESENTATION

Key Points (*five minutes*):

- C For the next three days, consider yourselves to be a team.
- C Each of us—including participants, faculty, and facilitators—is expected to be a *team member*, as well as a *team leader*.
- C Since we will be working closely as a team for the next three days, it's a good idea to establish ground rules.
- C Why are ground rules important in team building and implementation? (*Group Discussion*)

LEARNING ACTIVITY

Once participants have articulated "why ground rules are important," a faculty member will facilitate the development of "ground rules" for the training program, and seek consensus among "team members" for these rules. Record these onto a tear sheet.

Ask participants to refer to page 4-15 of the manual, and see if "anything is missing." Finalize the ground rules for the training program, and post them on the wall for the duration of the training program (*ten minutes*).

"Practicing what we preach"

Review the ground rules every day to ensure that they are being met; and provide opportunities to revise or add to the ground rules, if needed.

MATERIALS NEEDED

- C Tear sheets and markers.

ESTABLISHING GOALS AND OBJECTIVES FOR A TEAM INITIATIVE

(4-14 TO 4-15)

[Time Allotted: 15 Minutes]

GROUP DISCUSSION

The facilitators will present a short overhead slide presentation and lead a discussion on how (and why) to establish goals and objectives for a team initiative (*ten minutes*).

LEARNING ACTIVITY

Following the presentation and group discussion, participants will be given the work sheet. Ask each student to consider this training program as the "team initiative" for which goals and objectives must be developed. Distribute the two-page "Establishing Goals and Objectives for a Team Effort" work sheet, and give participants *ten minutes* to complete it.

The facilitators will co-lead a *twenty-minute* group discussion that walks participants through their responses and, in essence, develops goals and objectives for the "faculty and participant team" for this training program (utilizing tear sheets to record a summary of participant responses).

MATERIALS NEEDED

- C Overhead slide presentation.
- C Participant work sheets.
- C Tear sheets and markers.

ESTABLISHING GOALS AND OBJECTIVES FOR A TEAM INITIATIVE
"LEADERSHIP IN VICTIM SERVICES" TRAINING PROGRAM

DESCRIPTION OF OVERALL PROJECT (FROM YOUR PERSPECTIVE):

Benefits of the Project?

- 1.
- 2.
- 3.

Expected Outcomes?

- 1.
- 2.
- 3.

Your Primary Goal in Attending this Training Program , i.e., What Do You Hope to Achieve?

TIMETABLE FOR COMPLETION OF GOAL AND TASKS	ROLES AND RESPONSIBILITIES FOR TEAM MEMBERS	RESOURCES YOU NEED TO ACHIEVE YOUR GOAL	HOW WILL YOU MEASURE SUCCESS?

CHARACTERISTICS OF A HIGH PERFORMING TEAM MEMBER	SCORE
I commit only to activities that I can accomplish with my knowledge, time and resources.	1 2 3 4 5
I don't "not bite off more than I can chew."	1 2 3 4 5
I always ask for help from my fellow team members when I need it.	1 2 3 4 5
I recognize that when I commit to a team task or goal, others are reliant on me to accomplish this activity for their own success.	1 2 3 4 5
I am always willing and able to <i>lead</i> , and always willing and able to <i>follow</i> .	1 2 3 4 5
I am flexible as an individual, and as a team member.	1 2 3 4 5
I appreciate "strength in numbers," as well as the individual contributions that create that strength.	1 2 3 4 5
I can benefit from getting to know my fellow team members as people <i>and</i> professionals, and building personal and professional relationships is an individual, as well as team, goal.	1 2 3 4 5
I know I look good when I help and support my fellow team members.	1 2 3 4 5
I can learn from the experiences and expertise of my fellow team members.	1 2 3 4 5
I always leave my ego at home.	1 2 3 4 5
I bring strong skills to the team table that can be augmented by my team members' expertise and experience.	1 2 3 4 5
I am always willing to seek out new skills and resources that contribute to my own personal growth and development, as well as that of my team.	1 2 3 4 5
I am willing to take risks, without jeopardizing either my own integrity or that of my team.	1 2 3 4 5
I always respect diversity of people, processes and opinions.	1 2 3 4 5
I always commit myself to cooperate, and not compete, with my fellow team members.	1 2 3 4 5
I am always willing to bring my perceived conflicts out in the open so they can be addressed by the team in its entirety.	1 2 3 4 5
I never hold grudges if a team conflict is not resolved to my liking, and recognize that conflicts can result in personal and professional growth for me, as well as my team.	1 2 3 4 5
I am always willing and able to consistently evaluate my own contributions to and participation in team processes, as well as the overall team accomplishments.	1 2 3 4 5
I always seek, recognize, validate and celebrate both individual team members, as well as overall team, successes.	1 2 3 4 5
OVERALL SCORE:	

TYPES OF WORKING RELATIONSHIPS

(4-1 TO 4-2)

[Time Allotted: 50 Minutes]

LEARNING ACTIVITY

Presentation

Faculty members utilize overhead slides to provide a short presentation on the four types of working relationships, emphasizing the differences between each one. Participants are encouraged to offer examples—from their experiences—about each type of working relationship (*twenty minutes*).

Individual Work Sheets

Each participant is provided with the individual work sheets with four case studies, and given *ten minutes* to define the "type of working relationship" required for each case study. Participants should refer to "Introduction to Working Relationships" (pages 4-1 and 4-2) for guidance in completing their individual work sheets.

Full Group Discussion

All facilitators work together to: review (out loud) each case study; and lead a group discussion about the "type of working relationship" needed for each case study and why. (*twenty minutes*)

The answer key below defines the "type of working relationship" for each case study, as well as the key reasons why. (Note: Differences of opinions on "types of working relationships" are likely to occur in the full group discussion, and should be encouraged and processed.)

CASE STUDY	TYPE OF WORKING RELATIONSHIP	KEY REASONS WHY
1	Collaboration	<ul style="list-style-type: none"> C New process is created. C Joint action for mutual benefits. C Greater depth of involvement. C Independent entities still retained.
2	Cooperation	<ul style="list-style-type: none"> C Information is shared. C Parties are not required to do anything differently. C No resources are transferred. C Trust begins to develop.
3	Coordination	<ul style="list-style-type: none"> C Specific protocols begin to be established. C Number of people involved is increased. C Common benefits begin to be defined. C The need for a more formal structure is recognized.
4	Partnership	<ul style="list-style-type: none"> C A new entity is created. C Ownership encouraged and felt by all participants. C Joint ownership is required for success. C All key stakeholders are identified and involved.

MATERIALS NEEDED

- C Slides on working relationships: cooperation, coordination, collaboration, and partnership.
- C Individual work sheets.
- C Tear sheets and markers.

TYPES OF WORKING RELATIONSHIPS

PARTICIPANT WORK SHEET

CASE STUDY #1

You are the director of your county's domestic violence shelter and have been meeting recently with the Director of Victim/Witness Services in a district attorney's office. Past interactions have included:

- C Sharing information about programs and services.
- C Providing cross-training to each other's staff about your programs and protocols.
- C Discussing the creation of an inter-agency agreement and protocols for responding to domestic violence victims and defendants.

You think it's a good idea to draft an inter-agency agreement and policy on the types of cases that are most likely to result in: community supervision of the offender—with the batterer removed from the home for the duration; batterers' treatment; payment of financial/legal obligations to the victim; and counseling and support services for the victim and her children.

The Director of Victim/Witness Services agrees, but asks that you involve representatives from the judiciary, probation, defense bar, and batterers treatment in this process.

This Working Relationship Requires (Circle one):

Cooperation Coordination Collaboration Partnership

CASE STUDY #2

You are the Director of Victim/Witness Services in a district attorney's office. The Chief District Attorney asks you to find out what programs and services are available from the local domestic violence shelter, and to brief the shelter's staff about your agency's policies and protocols for battered women and defendants.

This Working Relationship Requires (Circle one):

Cooperation Coordination Collaboration Partnership

CASE STUDY #3

You are the director of a domestic violence shelter, and recently met with the prosecutor-based victim/witness staff director to discuss your mutual programs and services for victims. The meeting was highly educational and beneficial for both parties.

You call the victim/witness staff director, and ask if s/he can come back to your agency with the district attorney assigned to the domestic violence caseload, and meet with your program staff. You want to discuss the development of an inter-agency agreement and protocols in how your two agencies respond to domestic violence victims and defendants. Both of you agree that this would be mutually beneficial.

This Working Relationship Requires (Circle one):

Cooperation Coordination Collaboration Partnership

CASE STUDY #4

In your county, there have been recent efforts to address how domestic violence cases are handled by both the criminal justice system, community-based victim services, and offenders' legal and treatment advocates.

You would like to initiate a "County Council on Domestic Violence" that would meet once a month to address the handling of domestic violence cases. You anticipate that the Council would:

- C Identify gaps and replication of services.
- C Provide cross-training to its members on key domestic violence issues.
- C Review and develop both agency policies, and inter-agency policies, relevant to domestic violence cases.
- C Evaluate and, as needed, revise processes that affect domestic violence victims and offenders.
- C Plan joint activities for "Domestic Violence Awareness Month" in October.

Proposed members for the Council include representatives from: law enforcement; prosecutors; victim/witness staff; judges; court administrators; defense bar; probation; parole; corrections; community-based domestic violence advocates; batterers' treatment; faith community; mental health; health; elected officials; and schools.

This Working Relationship Requires (Circle one):

Cooperation Coordination Collaboration Partnership

THE TEAM LEADER AS "MENTOR"

(4-19 TO 4-20)

[Time Allotted: 30 Minutes]

GROUP DISCUSSION

The facilitators will lead a discussion on the importance of mentoring in our field to create "future leaders" for our field (*ten minutes*).

LEARNING ACTIVITY

Following the group discussion, participants will be given the work sheet. Ask each student to consider his or her "favorite mentor"—from school days, from the victim assistance field, etc., and to take *five minutes* to list the five qualities that made that person a strong mentor.

The facilitators will drop the prepared tear sheets (pre-hung on the walls) following this exercise, and ask participants to write each of the five qualities they identified on the appropriate tear sheet (*ten minutes*). The facilitators then process the group's responses, and validate the characteristics of "team leaders as mentors."

To wrap-up this session (*five minutes*), provide participants with the half-page work sheets and, as a group, "fill in the blanks" to spell "MENTORS."

MATERIALS NEEDED

- C Participant work sheets.
- C Eight prepared tear sheets with the following headings: motivate; expect great things from self and others; never give up!; two-way communications; organize; respect; share vision, ideas, expertise and resources; and other qualities.
- C Markers for participants.
- C Seven half-sheet participant worksheets ("MENTORS") on colored paper.

MY FAVORITE MENTOR
His or Her Best Qualities

PARTICIPANT WORK SHEET

1.

2.

3.

4.

5.

MENTORS

_____ others by example: Remain committed to the team's goals and objectives; always have a positive attitude; and complete assigned tasks on time and with enthusiasm.

MENTORS

_____ great things from themselves and other team members, and be willing to provide support, encouragement and nurturing to help other team members reach their goals.

MENTORS

_____ give up! Once the team establishes goals and expected outcomes, a strong mentor will do everything possible to support team members as individuals, as well as collectively, to attain them. Milestones on the road to success will be celebrated, and setbacks will be addressed in a positive and constructive way.

MENTORS

_____ - _____ communications are essential and continual. The mentor must be open, honest and forthcoming with team members. Opportunities for new ideas and input from protegees are encouraged and welcome.

MENTORS

_____ the team to be successful and, in addition, demonstrate organizational skills by example. Trust that other team members will help "keep the wheels rolling," and be prepared to provide support and encouragement to those that are having trouble.

MENTORS

_____ individuals and individual differences. "Model" this attribute by having self-respect and not be afraid to show it!

MENTORS

_____ their vision, ideas, expertise, and resources with team members, and encourage them to do likewise.

VIRTUAL TEAMS

MEDIA	QUESTIONS FOR TEAM MANAGERS
Computer-supported face-to-face meetings	How does the ability to contribute anonymous input affect the team? How can you continue to test whether "consensus" as defined by computer processing of input is valid?
Audio conferencing	How can you help participants have a sense of who is "present"? How can you sense when people have something to say so you can make sure that everyone has a chance to be heard?
"War" room (note: some people are trying to make up a better name for these like "discovery" room)	How can you support an engaging conversation <i>about</i> the materials among people who don't access them at the same time? How do you know when it's time to make a decision and when there is closure about it?
Electronic mail	What norms need to be established for things like response time, whether or not e-mail can be forwarded to others? What norms are important about who gets copied on e-mail messages and whether or not these are blind copies? How does the style of e-mail messages influence how people feel about the team?
Asynchronous Web-conferencing	How do you deal with conflict when everyone is participating at different times? What's the virtual equivalent of eye contact? What metaphors will help you help participants create the mental map they need to build a culture that will support the team process?
Document sharing (Intranets)	How can you balance the need to access and process large amounts of information with the goal of developing relationships and attractive qualities like trust?

PRINCIPLES OF CHANGE FACILITATION

(5-5 AND 5-23)

[Time Allotted: 55 Minutes]

CASE STUDY

When long-time victim advocates were informally surveyed regarding what they anticipate will bring major changes to our field in the near future, the most cited response was "professionalization of the field," including the development of standards and certification (please refer to page 5-23).

In this exercise, imagine that your organization or jurisdiction has developed a Task Force to address the development of standards and certification, and you are a key member. Consider the benefits of and barriers to this initiative, as well as key stakeholders who will be affected by this proposed change.

LEARNING ACTIVITY

The full group will be divided into four sub-groups. Each group will take *fifteen minutes* to address one "guiding principle for managing change" as it relates to the development of standards and certification, utilizing the participant work sheets.

You will brainstorm with your group to identify how a strong leader would apply the core elements of this principle in addressing the development of standards and certification for your jurisdiction.

Your sub-group will present its findings to the full group in a *five-minute presentation*, with *five minute full group discussion* provided for feedback.

The "Guiding Principles for Facilitating Change" section of this chapter (page 5-5) provides you with an overview of the four principles that will be addressed in this exercise.

MATERIALS NEEDED

- C Participant work sheets.
- C Tear sheets and markers.
- C Overhead transparencies and pens.
- C Other presentation resources requested by participants.

FOUR GUIDING PRINCIPLES FOR FACILITATING CHANGE

PARTICIPANT WORK SHEET

KEY PRINCIPLE # 1: <i>ENGAGING PEOPLE</i>	HOW TO EFFECT THIS PRINCIPLE
<p>C Link the changes to people’s needs.</p> <p>C Let people plan their own part of the journey.</p> <p>C Prepare people for the tasks required of them.</p> <p>C Prepare people to deal with the stresses of change.</p> <p>C Welcome “resistance” as a sign of personal struggle, not as opposition to the goal.</p> <p>C Celebrate progress and make it fun.</p>	

FOUR GUIDING PRINCIPLES FOR FACILITATING CHANGE

PARTICIPANT WORK SHEET

KEY PRINCIPLE # 2: <i>PROVIDING LEADERSHIP</i>	HOW TO EFFECT THIS PRINCIPLE
<p>C Establish a clear, practical vision of the desired future state.</p> <p>C Ensure that leaders strive to act as role models for others.</p> <p>C Align recognition and reward systems with the goals.</p> <p>C Make the change process a team effort.</p> <p>C Provide for an ongoing, open, two-way flow of information.</p>	

FOUR GUIDING PRINCIPLES FOR FACILITATING CHANGE

PARTICIPANT WORK SHEET

KEY PRINCIPLE # 3: <i>CHANGE SUPPORT STRATEGIES</i>	HOW TO EFFECT THIS PRINCIPLE
<p>C Build partnerships involving all the key stakeholders.</p> <p>C Maintain the support of committed sponsors.</p> <p>C Strive for small early successes.</p> <p>C Focus effort where it can be most effective.</p> <p>C Cement the changes by neutralizing entrenched opponents.</p>	

OVERCOMING RESISTANCE TO CHANGE

(5-10 AND 5-11)

[Time Allotted: 55 Minutes]

CASE STUDY

A grant you recently wrote was fully funded by the state. Its goal is to establish a specialized division within your agency that provides services and support to victims of juvenile offenders. While your agency has seldom provided assistance to this population, and has limited experience dealing with the juvenile justice system, you feel—as a leader—that this change is long overdue, vital and welcome.

The 24-month grant funds a new professional staff position; a half-time administrative support position; computer equipment; and money for training, victim education, and community outreach.

Your staff knows nothing about the grant except that you are excited and committed to the new initiative.

LEARNING ACTIVITY

The full group will be divided into seven sub-groups. Each group will take *15 minutes* to address one "common resistor to change" described on pages 5-10 to 5-11, utilizing the participant work sheets.

You will brainstorm with your group to identify as many *possible staff resistors to the change* proposed in this case study and, for each resistor, *develop a list of things a good leader can do overcome resistance to change*—to help your individual staff and organization prepare for and respond to this new program.

Your sub-group will present its findings to the full group in a *three-minute presentation*, with *two minute full group discussion* provided for feedback.

The "Threats to Change" section of this chapter (pages 5-8 to 5-10) may provide you will helpful background information for this exercise.

MATERIALS NEEDED

- Participant work sheets.
- Tear sheets and markers.
- Overhead transparencies and pens.
- Other presentation resources requested by participants.

OVERCOMING RESISTANCE TO CHANGE
PARTICIPANT WORK SHEET

1. COMFORT WITH THE STATUS QUO	
POSSIBLE STAFF RESISTORS	WAYS TO OVERCOME RESISTANCE TO CHANGE

OVERCOMING RESISTANCE TO CHANGE
PARTICIPANT WORK SHEET

2. FEAR	
POSSIBLE STAFF RESISTORS	WAYS TO OVERCOME RESISTANCE TO CHANGE

OVERCOMING RESISTANCE TO CHANGE
PARTICIPANT WORK SHEET

3. LACK OF KNOWLEDGE	
POSSIBLE STAFF RESISTORS	WAYS TO OVERCOME RESISTANCE TO CHANGE

OVERCOMING RESISTANCE TO CHANGE
PARTICIPANT WORK SHEET

4. LACK OF TIME AND RESOURCES	
POSSIBLE STAFF RESISTORS	WAYS TO OVERCOME RESISTANCE TO CHANGE

OVERCOMING RESISTANCE TO CHANGE
PARTICIPANT WORK SHEET

5. NO BELIEF IN THE ADVANTAGES OF CHANGE	
POSSIBLE STAFF RESISTORS	WAYS TO OVERCOME RESISTANCE TO CHANGE

OVERCOMING RESISTANCE TO CHANGE
PARTICIPANT WORK SHEET

6. ROLE CONFLICT	
POSSIBLE STAFF RESISTORS	WAYS TO OVERCOME RESISTANCE TO CHANGE

OVERCOMING RESISTANCE TO CHANGE
PARTICIPANT WORK SHEET

7. KEEPING UP WITH THE CHANGE	
POSSIBLE STAFF RESISTORS	WAYS TO OVERCOME RESISTANCE TO CHANGE