

THE PHASES OF TEAM BUILDING

Phase I: Establishing the Rules

Each team must have a set of rules or terms of engagement that identify the parameters within which the team operates (Box 3-4). These terms of reference become the framework that guides or disciplines the team's activities and functions, as well as the team members' relationships with each other. These rules of process help ensure that every team member has a clear understanding of his or her obligation to the team, to each other, and to his or her own role as a part of fulfilling the obligations of the team. The rules also discuss how the team works, relates, and interacts and the values and meaning that each member will bring to the process of problem resolutions, solution seeking, and goal fulfillment to which each is committed. All of these relate to membership, meeting attendance, timeliness, participation, contribution, and processes around problem solving and dealing with the issues of the team. These rules should relate to specific requirements for meeting attendance, the respect and trust each will show for the other, the formation of the requirements of participation, the expectations and obligations of team members, the commitments the team will have to its goals and purposes, the processes associated with decision making, and the mechanisms devoted to conflict resolution and solution seeking.

These steps form the foundation of the first stage of formation for team construction. Each team must have a framework within which it will operate and a set of rules around which it agrees to function and to interact as members of the team. These form the base on which subsequent work in team building will unfold and build for purposes of meeting the team's requirements in the organization.

Phase II: Team Clarification

Following the initial formative definitive stage of the team comes the processes associated with clarifying the functions, activities, relationships, and outcomes of the team. It is important for each team member to know what her or his contribution is to the team, the team's requirement for her or his role, the aggregated expectations of the team for its functions and ac-

BOX 3-4

Rules of Engagement

Meeting times
Participation
Timeliness
Agenda
Business process
Dialogue
Member obligations
Discipline
Enforcement

Each member of the team needs to know what the team is all about. Therefore the team must clarify:

- *Functions*
- *Activities*
- *Relationships*
- *Interaction*
- *Processes*
- *Expectations*
- *Outcomes*

Teams need to be differentiated from each other to ensure a clear identity for the members. The uniqueness of the team is as important to its members as is the work it does. Allowing a way to create identity will be important to team cohesiveness.

BOX 3-5***Team Role Identity***

Three role identity problems:

1. Unclear role definitions
2. Uncertain role functions
3. Undefined relationships

Three role identity solutions:

1. Specific role descriptions
2. Identification of role expectations
3. Process for role and relationship conflict resolution

tivities, and the requirements that will be essential to ensure that the team remains effective. Issues of team leadership, team responsibility, communication, and intersection with the organizational system and other teams become an important part of clarifying the team's functions and its roles. Through clarification of roles and responsibilities the team has an idea of what it can expect of members and what is necessary for team success.

What is critical is to make sure the team knows not only who it is, but what it does, as well as what it achieves through its own actions. Clarifying roles that are specific to the team helps the team identify itself more critically in relationship to expectation. Also, through the clarification process, elimination of duplication, overlapping expectations and responsibilities, gaps in role and function, and the failure to meet requirements and commitments can all be identified early in the process (Box 3-5). Each of these will help the team function better. Furthermore, clarification of team roles and functions and relationships helps the team gain a deeper understanding of the unique contribution each member can lend to the team's process. Certainly, every member of the team will bring something different. Looking at the different gifts and skills that team members have to offer, clarifying that in terms of how it fits the whole, will be important as a part of the process of determining the effectiveness of the team and the team's own commitment to its outcomes.

To be clear about the work and effectiveness of clarification, teams will have to be involved across the board. All team members should come to understand, as we identified in Chapters 1 and 2, that they are a part of a larger system, that they are members of the system, and that as members they have an obligation to fully participate. That participation should require that they express themselves, that they be called on to express for those who are quiet and more reflective in their approach, that they identify the specifics and the concerns that they have as team members, and that they address the specific performance expectations and their contribution to the team's accountabilities for the fulfillment of its goals and objectives. Involving all team members means developing methods and

mechanisms for ensuring that all levels of communication are invested in the team's activities (Box 3-6). As with all human groups there are those who are dynamic, outgoing, and very articulate in their contribution. There are others who are more reflective, less articulate, but have as much to share and need to be called on to ensure that what they have to share is communicated. This means that the dynamics and processes of the initial phases of the team must include ways in which all members are involved in the communication and dialogue of the team around its expectations and roles.

To ensure that the team is specifically effective around those issues that are of direct concern to it, the team must be clear about its expectations and desires. The team must be able to know exactly what its assignments and functions will be, specifically in relationship to critical paths, patient care processes, and the activities of relationship of each team member to the others. Identifying specifics means being clear and detailed about the tasks, responsibilities, activities, and functions that each team member will bring to the process. When the team has clarified its expectations, those specifics of each team member must tie in to the expectations and goals the team has set for itself. The functions and activities of each team member, therefore, must in some way represent that member's particular contribution to fulfilling those expectations and accountabilities of the team as a whole.

Defining accountabilities

In team-based work, accountability is a critical element of the team's viability and function. Accountability is one of the central components of the whole process of integrated team-based organizational approaches. Accountability is the foundation of performance in the new organization. Unlike responsibility, which focuses on process effectiveness, accountability focuses on outcomes. The achievement of sustainable outcomes is the chief value of the work of the health system, and all members must be committed to that goal. As identified in Chapter 1, accountability is one of the four

BOX 3-6

Involving Team Members

Involving all team members requires a method of deliberation that can be used throughout the work processes:

1. Format for deliberation that makes sense to the participants
2. Consistent use of the format in specific problem processes
3. Highlighting priority or pivotal problems for first review

Much of the initial work of the team is in setting common goals and expectations. Because of the diversity of the team's members, a good process for consensus building is necessary for team effectiveness.

BOX 3-7

Three Stages Of Accountability**Stage 1**

Clarity: Each person must know how her or his work relates to the goals of the team.

Stage 2

Specificity: No generalizations are acceptable; each role must be specifically enumerated in relationship to team functions.

Stage 3

Outcomes: All team members must know their unique role and contribution to the achievement of results.

principles that are critical to the effectiveness, sustenance, and success of the organizational system. Accountability must be clearly articulated for each role. Certainly, there is the team's accountability for the clinical outcomes to which the team is directed. Each role, however, performs a specific set of functions and activities, which, when aggregated with others, contributes to the overall outcomes of the team's work. Therefore most of the work of accountability is individualized. Each member of the team, from therapist to nurse to physician must clearly articulate the contribution she or he makes to the team's functions, its relationship, work, and to the outcomes that the team has obligation to achieve. In this way all of the team members can look critically not only at their own expectations and accountabilities, but those of others, and make judgments about how they fit, work together, and, when aggregated, meet the needs of the team in achieving its clinical processes and the outcomes that reflect it.

Being clear about accountability is one of the most important critical elements upon which team success is built (Box 3-7). Therefore as much attention, energy, and activity as is necessary to be clear about that accountability should be undertaken. Furthermore, it would be appropriate for all members of the team to approach their accountability as a contract with each other and the organization such that all team members and the organization can expect the individual team members to fulfill the obligations associated with their accountability as they unfold the process of deliberation.

Accepting challenges

The formation of teams is not without its challenges. There will be opportunities for success as well as major barriers to the maintenance of team function and the obtaining of success. There will be a number of issues, personal as well as group, that will have to be addressed to make sure that team development continues to unfold as it should.

These challenges come in all kinds of formats (Box 3-8). They will be arrayed across the relationship-building process and in every element of team formation. Challenges will be faced regarding personal agendas; group

process; individual communication styles; the kinds of issues and concerns that are communicated; circumstances around personal membership and the obligation of contribution; the kind, character, and number of disagreements the team has over issues and what processes are used to resolve them; the use of information resources, both information available and how information is managed by the team; how the team members relate, work, and interact with each other; how often the team meets; the issues that get dealt with; the issues that are unresolved; and finally the human dynamic issues. Of importance are those issues which relate to interpersonal communication, styles, competition, interaction, relatedness, and trust. All of these are challenges that will be confronted on the way to building team effectiveness. There are techniques and processes identified in this book that help the team members get past any barriers or challenges they might confront. The issue is using them and making the requisite of team functionality the basic underpinning for successful work and achievement of outcomes of the team.

Phase III: Team Working

Each of these phases depends on success achieved in the previous phase. Clearly, an effective, operating, functional team requires that the formation of purpose and direction and the resolution of process, issues, and challenges are required for the functional appropriateness of team process. Most of the activities of building good team process will be related to the kind and character of the relationships the team members have with each other and how consistently they operate: first, to make the team effective, and second, to achieve the team's outcomes. Good working relationships within the context of the team are critical.

Peer relationships

Productive processes require certain components to be in place for teams to be effective. The following are critical elements to organize the team's effectiveness as the team is underway in deliberating its issues.

BOX 3-8

Initial Challenges With Teams

- Personal agendas
- Group conflict
- Communication styles
- Roles
- Personal relationships
- Variable contributions
- Level of skill
- Group expectations
- Good information

Mentorship and good facilitation are critical at the outset of team formation. Through this process, the rougher developmental stages can be better handled and conflicts can be confronted early in the process. Trust of the facilitator is critical to team building.



TEAM TIP

3.3

Creating an Agenda

- Base the agenda on the team accountability
- Create no more than three to five topic items
- Keep the agenda simple
- Collect all relevant information
- Organize by topic and priority
- Fit the agenda into meeting time frame
- Be clear about what group action is required

People quickly lose interest in activities that have no results and do not make a difference. Methodology helps prevent this from happening.

A. Establish an agenda. An agenda, either formal or informal, helps discipline the process of teamwork and team deliberation (Team Tip 3-3). Every member of the team should be working toward some common goal or some common achievement; therefore when the group gathers or when the group informally meets there should be some expectation that it is essentially fulfilling the requirements of an agenda to which all members agree. The agenda should relate specifically to a goal around which the team has been constructed, and as it undertakes issues related to those goals, the agenda should reflect progress against what it is expected to accomplish. Either formally in group meetings or informally in work processes, the group should always be unfolding its activities within the context of its purpose and objectives. Therefore agenda in this case relates more to a common understanding each member of the team has with regard to the team purpose imbedded in any one of the functions and activities it has related to its goals.

B. A common understanding. All members of the team should be clear about their relationship to the purposes, objectives, functions, and activities expected of the team. Certainly, the team wants to be able to fulfill its requirements. To do so means being sure that all members are certain about not only their own contribution, but the contribution of others. Clarity around that relationship will eliminate much ambiguity and foundation for conflict. Because conflict needs to be avoided wherever possible or confronted whenever necessary, the team wants to make sure that it is clear regarding expectations around both roles and functions.

C. Team meeting methodology. Each team should have a methodology for effectively undertaking its work and managing its meeting times. A formalized and consistent method for conducting the meeting is critical to its success. Using tools and format to keep a meeting on target and producing outcomes is essential to maintaining team member interest. Because

clinical teams have special constraints around the issues of time and work assignment, any meetings that are scheduled must be efficient, effective, brief, and successful. Clinical providers do not have as much option to access each other as frequently as other kinds of teams might have. Therefore each time a team meets formally it should be an efficient and effective exercise that can be done with a great deal of participation, satisfaction, and achievement of outcomes. All the models of progress around teams should clearly have processes in place where the goals of the meeting and team interaction are clear; where the team is able to deal with its issues with effective methodology; where meaningful, viable, and immediately effective process is undertaken; where mechanisms and methodologies around data collection and analysis are undertaken; where specific and appropriate action, both individual and collective responses, can be clearly outlined; and where an appropriate closure and follow-up process is identified. Each of these process items is essential to the effectiveness of any team gathering to meet formally or informally to undertake its work. From goals, to team relationship, to process effectiveness, to data processes, to action steps, to closure and follow-up, each team member must play a role in fulfilling the requirements of good team process. Each of the elements identified is essential to continuous and effective processing of any team at any level.

This chapter has focused specifically on basic and initial activities of team formation in the first three phases of team development. Introduced are the fundamental processes associated with ensuring that the team can become functional. Addressing each of the issues of team formation becomes essential to the sustainability of the team and the team members' ability to work well together and achieve the team's purposes. In the next chapter we will continue to focus on team development with an emphasis on creating effective and well-functioning teams.



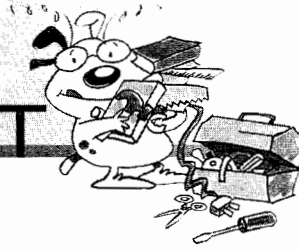
Required Team Attributes

- *Purpose*
- *Goals*
- *Methodology*
- *Accountability*
- *Clear Roles*
- *Trust*
- *Good facilitation*
- *Outcomes*

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TOOLCHEST



TOOLA: Team Empowerment Exercise

Purpose of the Exercise

This exercise is to help team members identify what they can do to become more effective and more aware of teamwork and the ability to make decisions together. This exercise focuses on the ability of the team to act in an empowered way.

Team Size

The group should not exceed more than ten members.

Time Required

About 2 hours.

Place

This exercise should be undertaken in a room large enough to allow the team to be comfortable and to use a flip chart. Usually working at a round table is helpful to the team process.

Supplies

An easel, a large blackboard, a flip chart, markers, and masking tape are useful for this exercise.

Instruction and Activity

The team leader outlines the principles of empowerment and the application of that empowerment in the process of decision making and team rela-

tionship building. Using these concepts and a facilitator provides the foundation for understanding the principles of empowerment in making the team more effective.

The team leader then asks the team members to build a list of methods and mechanisms that they suggest will facilitate their involvement in decision making and in solution seeking. Following that, the team members clarify and outline the list of elements that will, they believe, make the team more empowered and more successful. The team members select the five highest-priority items or actions that they think represent the most empowered processes. After having selected these items, the team members identify specific ways in which their priorities can be implemented within the context of the team process.

Following the identification of the priorities and the action steps related to it, the team facilitator identifies with the group ways in which team members can incorporate their recommendations into the group process. The team leader then summarizes their recommendations, indicates how they will next be used, and sets the time frame for the next team meeting in which these processes will be applied.

At the next meeting the recommendations of the team group are applied, and following the meeting an evaluation of their application is undertaken by

the team and the team leader in about a 15-minute activity.

TOOLB: Day-To-Day, Self-Managed Team Process

In *Business Without Bosses*,* C. C. Manns and H. P. Simms identify that there are many functional and routine things that a team must do to undertake its work. Each of these activities is related to the day-to-day functional processes associated with self-managed work teams. Building self-managed work teams in a way that is effective and meaningful is a critical part of moving teams into sustainability. Each of these elements is identified as a checkoff for the ongoing functional and productive activities of making teams workable.

Instructions: This checkoff list contains the following elements that each team leader will need to incorporate into the processes associated with day-to-day team experiences.

Team responsibilities and day-to-day activities:

- Select team members.
- Identify team leaders.
- Ensure that specific role assignments and work group obligations are identified.
- Enumerate new membership training and orientation process.
- Determine and outline the rules of engagement.
- Determine work process and team-based relationships.
- Establish schedules and assignments around team process.

- Make specific role assignments within the work group or team.
- Determine appropriate support material or work material necessary to do the work of the team.
- Establish a process for record keeping and work group process.
- Determine the quality control, measurement, and improvement data process.
- Outline specific needs for materials, processes, and information.
- Select and dismiss members as indicated through the rules of engagement.
- Establish times for the regular, at least weekly, group meetings.
- Establish the accountability framework for the group.
- Define consequences of performance and non-performance.
- Outline the disciplines for specific, unacceptable behavior.
- Identify the characteristics and functions around performance, feedback, and team evaluation processes.
- Identify the communication, generation, and information sharing process.

Self-managed work teams are unique in their own composition; however, they have elements within them that are characteristic of all teams. The above items are a part of the content of al-

* Manns CC, Simms HP: *Business without bosses*, New York, John Wiley & Sons, 1993.

most any team, but they have specific importance within the context of self-managed teams. Increasingly, as teams develop they need to control and monitor their own processes, functions, and activities, as well as undertake appropriate evalua-

tion of their work. Using the above developmental and day-to-day process items helps keep a team focused on the functional components that must be in place at all times to ensure the team's effectiveness.

TOOL C: Getting Started with Teams

Organizational Issues and Notes

Organizational change is frequently traumatic, noisy, and stressful for organizations and individuals. Such processes are seldom as easy as they appear to be. Each individual must be aware of and sensitive to the impact the change will have on each component of the organization and other persons in the system.

Instructions: Following are items that need to be assessed by the individuals as they begin to confront the issues of change and their role in relationship to it. Identifying some of these realities becomes critical to having a reality orientation in the face of change.

- Things are the way they are, and that is where you begin.
 - Can you accept your organization where it is now?
 - Can you see the need for change emerge within the organization?
 - Has the organization been stable or quiet for a long period of time?
- Nothing remains the same.
 - How do you feel about change?
 - Does change stress you?
 - Are you good at initiating changes when the need arises?

- It takes a lot of people to make change.
 - What is the general attitude toward change in your part of the organization?
 - Do you have co-workers who find change difficult?
 - Is your unit or department adverse to the issues surrounding change?
- Resistance is normal.
 - Can you identify how your resistance is manifested?
 - Can you name any specific events where your resistance was clear?
 - How will you deal with your natural resistance to change as you confront it?

The above questions relate specifically to accommodation for change and getting started with moving toward a different format for the organization. Teams require the individual to begin to dialogue with others about personal issues and relational processes. All teams require some level of clarity and honesty in individuals before they confront building relationships with others. Answering these questions and reflecting on what they imply will provide a foundation for deliberating on the issues affecting the development of teams.

TOOL D: Identified Losses and Gains Survey

In the midst of change all of us move from what we know into areas of concern, confusion, uncertainty, or fear. Imbedded in all these changes are many losses that express or enumerate the comfort, satisfaction, confidence, and competence of our own work or practice. Identifying loss and being able to deal with it directly is a critical element of the ability to embrace and engage change. Enumerating losses becomes critical to our ability to understand what the change means to us and to be able to undertake the activities necessary to imbed the changes in our own lives.

Group Size: No More Than Ten Individuals

Instructions for the Group Exercise

The facilitator gathers the group and identifies the purpose of the gathering. The facilitator enumerates issues of change and the struggles and problems associated with initiating change and personal adaptation to it. With this introduction the facilitator leads the group to the process of identifying losses.

After the facilitator has identified the specific loss events, situations, or occurrences, each individual is instructed to identify on a clean sheet of paper what she or he will most miss or feel about the change that is occurring. Each person is asked to identify the loss in specific terms as it has meaning for that person individually in his or her own life experience. The identification should be as specific, as concrete, and as clear as possible.

The facilitator then moves around the room encouraging each person to share his or her personal experience of loss. Also encouraged should be whatever personal response or feelings are attached to the sense of loss the individual expresses. Each individual should be permitted sufficient time to express in personal terms the meaning of his or her loss in a way that best meets individual needs.

Following the completion of the expression of losses around the room, the facilitator encourages all participants to take their sheet of paper and place it in a box, a bowl, or other container in the room. Some groups may even want to put it in a container with a door or a lid that can close on all of the sheets containing the enumerated losses. Once these sheets have been deposited the facilitator draws the group around the container, joins hands with the group, and concludes the exercise with the understanding that now that the losses have been expressed, they have been shared and communicated, and now have been placed in the container. As the participants leave the room they must leave their losses in the container as they go forth to embrace and engage the changes they must confront. Through this exercise the individual concerns, issues, fears, and doubts related to the loss of current activities, confidence, competence, or other indicators can be expressed and people can move on to address needed changes.