

# Collaboration A Brief Introduction

ABA Section of Dispute Resolution, Government  
Committee

Section of Administrative Law

Federal Interagency ADR Working Group (IADRWG)

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# Defining Collaboration

Mediation

consensus-building

collaboration

*community-based collaboration*

*community participation*

**collaborative learning**

*community-based conservation*

*collaborative planning*

# Defining Collaboration

- **Barbara Gray:** *Joint ownership of decisions, and collective responsibility for achieving the jointly agreed to objectives.*
- **Scott London:** *...collaboration is a process of shared decision-making in which all the parties with a stake in a problem constructively explore their differences and develop a joint strategy for action.*
- **Judith Innes and David Booher:** *These collaborative processes, engaging public and private sector players representing many interests working on tasks that are about public welfare, have become part of an emerging governance system. This system ... is linked in varying ways to formal government, and engages stakeholders who are typically outsiders to public choices.*

# Characteristics of Collaboration

- 1) Place, policy or plan, or combination of the three.**
- 2) Multiple parties with sufficient stake in, and responsibility for, the issue(s).**
- 3) Parties work together to provide recommendations, suggest policy, take action, or make some other form of decision.**

# Characteristics of Collaboration

## 1) Place, policy or plan, or combination of the three.

Examples:

- **Place:** Clean up a contaminated river.
- **Policy:** Craft tobacco product regulations.
- **Plan:** Determine how to implement a regulation for special education.



# Characteristics of Collaboration

## 2) Multiple parties with sufficient stake in, and responsibility for, the issue(s).

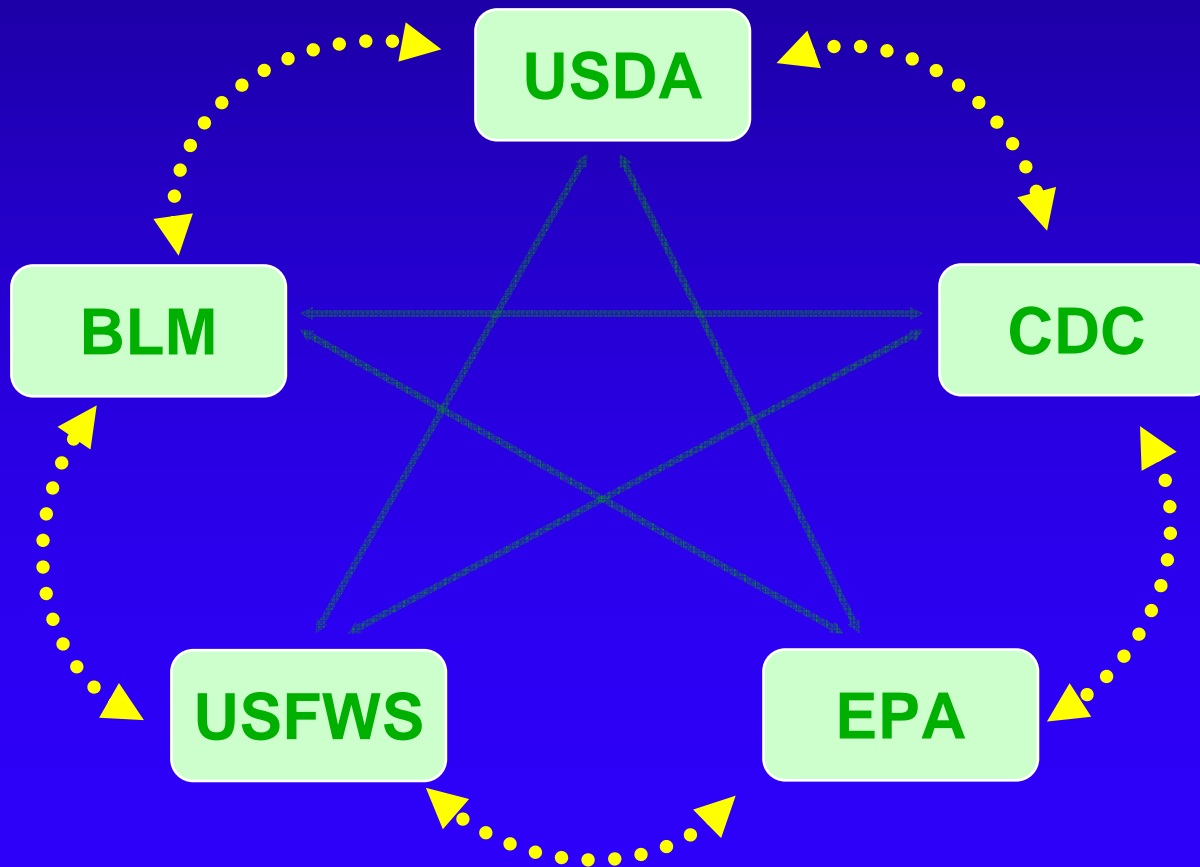


### Examples:

- **Multiple interests within one sector:** Participants from several federal agencies.
- **Multiple sectors:** Representatives from public agencies, the business community, and non-profits.
- **Multiple levels of interests:** Citizens and civic leaders; local, state, regional, national, and international representatives.

# Characteristics of Collaboration

## Multiple Interests Within One Sector



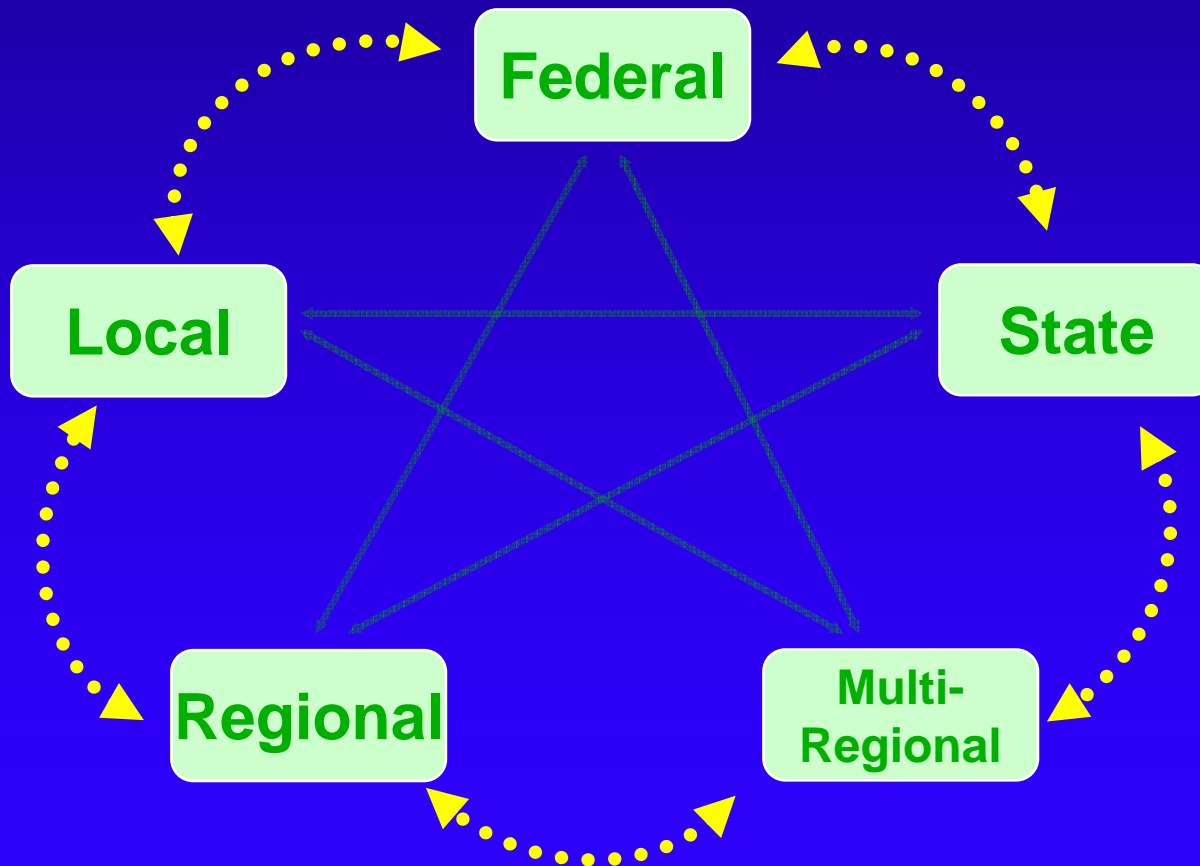
# Characteristics of Collaboration

## Multiple Interests Across Sectors



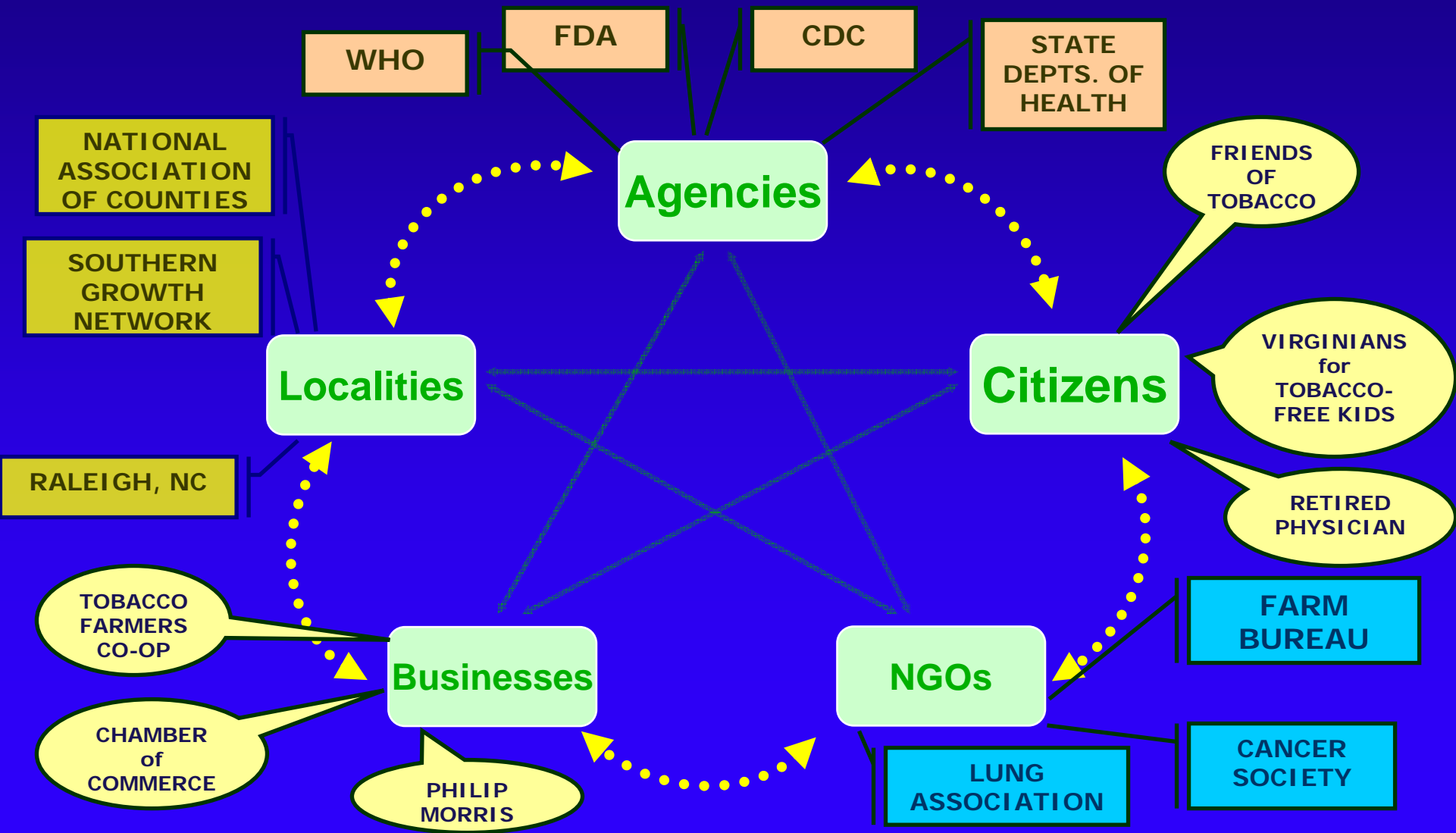
# Characteristics of Collaboration

## Multiple Interests Across Levels



# Characteristics of Collaboration

## Multiple Parties Within and Across Levels and Sectors



# Characteristics of Collaboration

**3) Parties work together to provide recommendations, suggest policy, take action, or make some other form of decision.**

**Chris Ansel and Alison Gash:** “Collaborative Governance” -  
*...governing arrangement where one or more public agencies directly engage non-state stakeholders in a collective decision-making process that is formal, consensus-oriented, and deliberative and that aims to make or implement public policy or manage public programs or assets.*

# What Defines Collaborative Processes\*

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- **Direct interaction and communication.**
- **Diversity of views.**
- **“Done with, not done to.”**
- **Timely information.**
- **Mutually beneficial results.**
- **Focus on results and action.**



\* Ad Hoc Working Group on the Future of Collaboration and Consensus on Public Policy Issues

# Why Collaboration?

- **More creative, legitimate and enduring outcomes.**
- **Political, economic or social feasibility.**
- **Learning and change among participants.**
- **New personal and working relationships.**
- **Social and political capital.**
- **Shared information and analyses that all understand and accept.**
- **Second order effects: changes in behaviors and actions, spin-off partnerships and collaborative activities, new practices or even new institutions.**

# Varying Goals of Public Processes

- **Inform**
- **Consult**
- **Involve**
- **Seek  
Consensus**
- **[Empower]**

*lesser stakeholder role*



*greater stakeholder role*

# Spectrum of Collaboration\*

	<b><i>Inform</i></b>	<b><i>Consult</i></b>	<b><i>Involve</i></b>	<b><i>Seek Consensus</i></b>
<b>GOAL</b>	Provide sufficient information to understand issues, alternatives and/or decision/s.	To obtain feedback on issues, alternatives, analysis, and/or the decisions.	To consistently include your input throughout the process, to ensure that your concerns are understood & considered before decision/s made.	To directly engage or partner with stakeholders in all aspects of the decision-making process, including the framing of the issues, the development of alternatives, and the identification of the preferred solution.
<b>AGENCY COMMITMENT</b>	We will provide you with comprehensive, accurate and timely information about our decision-making.	Agency will keep you informed, listen to your concerns and suggestions, & provide feedback on how your input was considered in the decision-making process.	Agency will work with you to ensure that your suggestions and concerns are reflected in options, and provide feedback on how your input influenced a decision.	Agency will partner with you at each stage of the decision-making process, seek your advice on formulation of alternatives and solutions, and incorporate your advice and recommendations into the decisions to the maximum extent possible.
<b>DECISION MAKING</b>	By agency.	By agency, with opportunity for suggestions or feedback.	By agency, with stakeholder input considered in advance of decision.	Shared decision-making process involving agency and stakeholders.

\* Based on International Association of Public Participation Spectrum and modified by Department of the Interior

# Select Appropriate Tools to Achieve Desired Goals\*

	<b><i>Inform</i></b>	<b><i>Consult</i></b>	<b><i>Involve</i></b>	<b><i>Seek Consensus</i></b>
<b>Options to Consider</b>	<b>Fact Sheets</b> <b>Newsletter</b> <b>Web Site</b> <b>Open House</b> <b>Panel Presentation/s</b> <b>Public Meetings</b>	<b>Public Comment</b> <b>Surveys</b> <b>Focus Groups</b> <b>Consultation: Tribal, State</b> <b>Public Meetings</b> <b>Advisory committee</b>	<b>Advisory Committee</b> <b>Workshops</b> <b>Joint Fact-Finding</b> <b>Deliberate Polling</b> <b>Consultation</b>	<b>Consensus-building</b> <b>Negotiated Rulemaking</b> <b>Advisory Committee</b> <b>Mediation</b> <b>Consultation</b>

\* Based on International Association of Public Participation Spectrum and modified by Department of the Interior

# What Did You Learn?

**What processes did you decide to use, and why?**

**What was it like to try to design a collaborative process in a systematic way like this? Challenges? Turning points?**

**What lessons from this exercise would help you initiate - or decide not to initiate - a collaborative process for your own agency?**