

California State University, Sacramento
Department of Public Policy and Administration

PPA 271
Practice of Collaborative Policy-Making
Spring, 2007

David Booher, M.A., M.S.P.
Center for Collaborative Policy (CCP)
815 S Street
(530) 758-2774
dbooher@berkeley.edu

Meeting Time & Place:
February 1-May 17, 2007
Thursday 6PM-8:50PM
Location: CCP, 815 S Street
Office Hours: By appointment, CCP
or Modoc Hall 2006.

Prerequisites: PPA 200 or permission of Instructor. Priority will be given to students who have completed PPA 270.

Course Contents and Objectives

This methods course is designed to provide the skills and knowledge of strategies and methods that may be used to develop collaborative solutions to complex public policy issues and how to assess when these processes may be appropriate in specific situations. The course will include meeting management and facilitation, negotiation in complex multi-party policy disputes, collaborative leadership, collaborative organizational learning, governance network analysis and management, and public participation. Extensive use will be made of simulations and class exercises. Expert practitioners may join the class periodically as guest speakers. The objective of this course is to provide participants with practical skills and knowledge of several collaborative methods in public policy and the foundation to be reflective and to continue to develop their capacity in using collaborative strategies in practice.

Description of Expected Learning Outcomes

By the end of this course participants should be able to:

- Assess a public policy issue and determine if one or more collaborative methods or strategies may be applied to achieve change,
- Analyze the context for participation within and between organizations and within communities of interest or place,
- Understand how various collaborative strategies may fit together as part of an overall change process,
- Use mutual gains negotiation in public policy disputes,

- Plan and manage effective collaborative meetings,
- Understand the use of joint fact finding in science disputes,
- Use several group methods in public policy deliberations,
- Use collaborative leadership approaches in public policy,
- Use Internet blogs for Internet dialogue about public policy issues,
- Analyze and operate in governance networks,
- Use collaborative strategies for public participation in policy,
- Draw on resources about collaborative strategies and methods for their practice,
- Reflect deeply on their own use of collaboration in policy practice, and
- Be creative in the development and application of collaborative methods in public policy practice.

Required Readings

Four texts will be used in the course along with a collection of articles and materials. The latter will be provided in class, on line, or in digital form. Students are responsible for providing a binder to contain these materials.

How to Make Meetings Work, by Michael Doyle and David Straus (New York: Berkeley Books, 1993.)

Getting to Yes: Negotiating Without Giving In, by Roger Fisher and William Ury (New York: Penguin Books, 1991.)

How to Make Collaboration Work, by David Straus (San Francisco: Berrett-Koehler, 2002.)

Breaking Robert's Rules, by Lawrence Susskind and Jeffrey Cruikshank (New York: Oxford University Press, 2006.)

Course Requirements

This course will be built on engaging students in a collaborative learning process with each other, the Instructor, and guest speakers. The course will seek to model the collaborative process. We will rely on short lectures, discussions, in-class exercises and presentations, role-plays and simulations, and students' own observations and reflections. Students must come to class prepared by having read and reflected on all the required materials prior to that session. **Students should read the reading assignment for February 1st prior to the first class and Making Meetings Work prior to the third session.** (Students who have not covered negotiation methods, including Getting to Yes, in PPA 210 should contact the Instructor to arrange for a tutorial.)

Extensive use will be made of class simulations and exercises. (There will be a small charge for the materials for these simulations that will be collected on March 8th.)

Students are requested to make every effort to be present for these simulations in order to assure their success. Student participation will be the most important basis for grading and will be evaluated based upon attendance, quality of participation, engagement with the content, and mastery of the readings prior to the relevant class sessions. Students will take turns facilitating group processes. In addition, all students are encouraged to observe at least two collaborative processes during the spring semester.

Starting February 22nd, students will keep a weekly (11 entries) one to two page (250-500 words) on-line blog journal of their observations and reflections regarding public policy issues or contexts as they relate to collaborative policy-making. The journals will be based upon students' own experiences, the reading material, class activities, and observations regarding current public policy disputes. The weekly entry may initiate a discussion or be in response to an entry by another student. (Students will use a free blog account with Live Journal to post their journals and join the "Community" for the class. Students will also read each other's journals and may comment on them as appropriate. Access to the blog will be restricted to the Instructor and other students. Information regarding the blog will be provided at the first class.) The final journal is due on May 10th. The journal and comments on other's journals will be evaluated for grading purposes based upon application of the readings and class lessons in the entries and creativity in observation and reflection in applying insights to real world policy contexts. Details will be provided during the first class.

The major student project for the course will be completion of a team project based upon a public policy controversy that could benefit from the use of one or more collaborative processes. Early in the semester students will self-organize into teams. The teams will consult with the Instructor to select a real world policy issue to propose for one or two collaborative strategies. Examples of strategies include:

- Meeting planning and management
- Negotiation and consensus building processes
- Design of a joint fact finding process
- Design of a public participation processes
- Collaborative organizational learning
- Analysis and management of a governance network
- Design of a community collaborative processes
- Building collaborative capacity of an organization

Team papers may evaluate a past collaborative process, develop one or more collaborative strategies for addressing a current issue, or develop a strategy for a hypothetical context for a current or future policy issue. Team papers should include: a summary of the policy issue and context; discussion of why, when and how a collaborative strategy is important; a proposed collaborative strategy; a literature review; and a bibliography including websites. Team projects will be evaluated based upon completeness of the treatment, creativity in the application of the methods and strategies, quality of the written and oral presentation, and potential usefulness in a real world policy application. Each student in the team will receive the same grade for the project.

The team papers will be presented to the class on May 17th.

Grading for the course will be based upon:

- Class participation 40 percent
- Mid Term journal 10 percent
- Final journal 20 percent
- Team paper 30 percent

Outline of Topics

February 1st: Course Overview and Requirements, Summary of Collaborative Policy-making Theory and Practice, Review of Negotiation Theory, Problem solving Heuristics.

How to Make Collaboration Work. (Introduction and Chapter 1.)

Getting to Yes. (Please review the entire book)

“DIAD Network Dynamics”. Center for Collaborative Policy. Download from:
<http://www.csus.edu/ccp/collaborative/index.htm>

“The Power of Metaphor: The Elephant Zone,” Lee, Center for Collaborative Policy,
(Download from: <http://www.csus.edu/ccp/newsletter/archives/Jan2003Edge.htm#toolkit>.)

“Features of Live Journal Blog”. (Class handout.)

“Ladder of Inference” and “Design for Learning”. (Class handouts.)

“Collaborative Process Internet Resource Links”. (Download from
<http://www.csus.edu/ccp/links.htm>)

February 8th: Principles of Collaboration.

How to Make Collaboration Work, (Chapters 2 - 6)

Breaking Robert’s Rules, (Introduction and Chapters 1 - 2)

“Collaborative Policy”. Center for Collaborative Policy. Download from:
(<http://www.csus.edu/ccp/collaborative/>)

February 15th: Meeting Planning, Management, and Facilitation.

How to Make Meetings Work. (Entire book)

Facilitator's Guide to Participatory Decision-Making, Kaner, "Alternatives to Open Discussion", pp. 69-84. (Gabriola Island, BC: New Society Publishers 1996). (Class handout.)

"Gradients of Agreement," Kaner. (Distributed by email.)

Breaking Robert's Rules, (Appendices B & C)

February 22nd: Consensus Building in Multiparty Disputes.

Breaking Robert's Rules. (Chapters 3 - 8 and Part II)

"Consensus Building as Role Playing and Bricolage: Toward a Theory of Collaborative Planning," Innes & Booher, Journal of the American Planning Association, winter 1999, pp. 9-26. (Distributed by email)

"Stages of a Collaborative Process," Center for Collaborative Policy. (Download from: <http://www.csus.edu/ccp/collaborative/index.htm>)

"Making Participation Work When Interests Conflict: Moving from Facilitating Dialogue and Moderating Debate to Mediating Negotiations," Forester, Journal of the American Planning Association, autumn 2006, pp. 447-456. (Distributed by email.)

"Dialogue not Diatribe: Effective Integration of Science and Policy through Joint Fact Finding," Karl, Susskind & Wallace, Environment, January/February 2007, pp. 20-35. (Distributed by email.)

March 1st: Conflict Modes and Conflict Assessments.

"Conditions Favorable to Initiation of a Collaborative Process," and "Conditions Needed to Sustain a Collaborative Process," Center for Collaborative Policy. (Download from: <http://www.csus.edu/ccp/collaborative/index.htm>)

Consensus Building Handbook, Susskind, et al, "Conducting a Conflict Assessment," pp. 99-136. (Class handout.)

Making Collaboration Work. (Chapter 2)

Breaking Robert's Rules. (Chapter 3 and Appendix A.)

March 8th: Using Interest Based Negotiation in Public Policy Disputes. (Materials fee due.)

March 15th: Designing Conflict Assessments.

“Assessment Report: Reforming the Mandate Reimbursement Process,” Center for Collaborative Policy. (Download from: <http://www.csus.edu/ccp/publications.htm>)

“Outline of How to Conduct a Conflict Assessment.” (Class handout.)

“Negotiation Planning Worksheet.” (Class handout)

March 22nd: Using Interest Based Negotiation in Public Policy Disputes. (Mid term journals due.)

March 29th: Spring Break.

April 5th: Collaborative Leadership and Organizational Learning.

How to Make Collaboration Work. (Chapters 7-8.)

Breaking Robert’s Rules. (Appendix E.)

“Goal-Based Learning and the Future of Performance Management”, Donald P. Moynihan, Public Administration Review, 65 (2), pp. 203-216. (Distributed by email.)

“Public Deliberation: An Alternative Approach to Crafting Policy,” Nancy Roberts, Public Administration Review, 57 (2), pp. 124-132. (Distributed by email.)

April 12th: Collaborative Public Policy Network Structures.

“Network Structures: Working differently and Changing Expectations,” Robin Keast, et al, Public Administration Review, May/June 2004, pp. 363-371. (Distributed by email.)

“Inside Collaborative Networks: Ten Lessons from Public Managers,” Robert Agranoff, Public Administration Review, 66 (6s), pp. 56-65. (Distributed by email.)

April 19th: Negotiating Collaborative Public Policy Networks.

April 26th: Collaborative Public Participation Strategies.

Making Collaboration Work. (Chapters 9-10.)

“Public Participation in Planning: New Strategies for the 21st Century,” Judith Innes and David Booher, Planning Theory and Practice, December 2004. Download from: <http://www.csus.edu/ccp/publications.htm>

“Varieties of Participation in Complex Governance,” Archon Fung, Public Administration Review, 66 (6s), pp. 66-75. (Distributed by email.)

“Ways of Knowing and Inclusive Management Practices,” Martha Feldman, et al, Public Administration Review, Public Administration Review, 66 (6s), pp. 89-99. (Distributed by email.)

May 3rd: Designing Public Involvement Processes.

How to Make Collaboration Work. Chapters 9-10.

“Collaborative Public Involvement,” Center for Collaborative Policy,” (Download from: <http://www.csus.edu/ccp/publicinvolvement/index.htm>)

“The IAP2 Public Participation Tool Box,” Download from:
<http://www.iap2.org/associations/4748/files/toolbox.pdf>

Breaking Robert’s Rules. (Appendix D.)

May 10th: Collaborative Governance: Putting it all together. (Final journals due.)

“Managing Boundaries in American Administration,” Donald F. Kettl, Public Administration Review, 66 (6s), pp. 10-19. (Distributed by email.)

“Civic Engagement as Collaborative Complex Adaptive Networks”, David E. Booher, forthcoming in Civic Engagement in a Network Society. (Distributed by email.)

May 17th: Team Project Presentations.

Recommended Resources

Students interested in continuing to develop and apply collaborative policy-making strategies and methods may consider acquiring the following books for their future use:

Chris Argyris and Donald Schon (1996). Organizational Learning II. Reading, MA: Addison-Wesley Publishing Co.

James Bohman, (2000). Public Deliberation: Pluralism, Complexity, and Democracy. Cambridge: MIT Press.

Barbara C. Crosby and John M. Bryson (2005). Leadership for the Common Good: Tackling Public Problems in a Shared-Power World. San Francisco: Jossey-Bass. (2nd Edition)

Eugene Bardach, Getting Agencies to Work Together. (1998) Washington, D.C.: Brookings.

Mark Buchanan (2002). Nexus: Small Worlds and the Groundbreaking Science of Networks. New York: W. W. Norton & Company.

Susan L. Carpenter and W.J.D. Kennedy (2001). Managing Public Disputes. San Francisco: Jossey-Bass.

Stephen Goldsmith and William D. Eggers, Governing by Network (2004). Washington, D.C.: Brookings.

Sam Kaner (1996). Facilitator's Guide to Participatory Decision-Making. Gabriola Island, BC: New Society Publishers.

George Lakoff and Mark Johnson, Metaphors We Live By (1980). Chicago: University of Chicago Press.

Henry S. Richardson, Democratic Autonomy: Public Reasoning about the Ends of Policy (2002). Oxford: Oxford University Press.

Roger Schwarz, The Skilled Facilitator (1994). San Francisco: Jossey-Bass.

Lawrence Susskind, Sarah McKernan and Jennifer Thomas-Larmer (1999). The Consensus Building Handbook. Thousand Oaks, CA: Sage Publishers.