From Hierarchies to Networks: Collaborative Leadership for Government

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Webinar Goals

1. Provide framework and best practices for collaborative leadership.

2. Increase familiarity with what collaborative policy and planning look like in practice.

3. Transfer collaborative leadership skills.
Poll #1

Have you participated in a collaborative process?

Yes
No
Poll #2

Have you led a collaborative process?

Yes
No
Webinar Outline

1. Origins, definitions, and characteristics of collaborative leadership.


3. Open questions at the end.
Introduction to the Center

- Founded in 1992
- Mission
- Fee-for-service
- Statewide presence
- Over 100 cases in any given year
- Casework fields
### Sample of State Agencies that have Convened Projects

- Corrections and Rehabilitation
- Emergency Management Agency
- Fish and Wildlife
- Food and Agriculture
- Forestry and Fire Protection
- Human Resources
- Mental Health
- Office of Planning and Research
- Parks and Recreation
- Pesticide Regulation
- State Auditor
- Strategic Growth Council
- Transportation
- Water Boards, Water Resources
Context and Concepts

Shift from

Government to Governance
Government compared with Governance

- Government – when public agencies have nearly sole discretion over entire fields of public policy (e.g. transportation, economic development, housing)

- Governance – when public agencies, civil society organizations, and everyday people are all actively involved in shaping public policy
Shift from Government to Governance

- Questioning of expert decision-making
- Emergency of civil society, civic engagement, and stakeholders
- Rising public expectations
“My administration is committed to creating an unprecedented level of openness in Government. We will work together to ensure the public trust and establish a system of transparency, public participation, and collaboration. Openness will strengthen our democracy and promote efficiency and effectiveness in Government.”

January 21, 2009
Shift to Governance (cont.)

- Questioning of expert decision-making
- Emergency of civil society, civic engagement, and stakeholders
  - Rising public expectations
- Emergence of big data and social media
Context and Concepts

Shift from Hierarchies to Networks
Poll #3

Has your agency ever begun developing policy on a particular topic, only to find that another agency was also developing policy on the same topic?

- Yes
- No
Has your agency tried to manage a public resource and found out that another agency was trying to manage the same resource somewhat differently?

- Yes
- No
Shift from Hierarchies to Network

- Complex, interconnected nature of public policy
- Success requires horizontal as well as vertical relationships
- Public agencies must balance their own organizational autonomy with their interdependence on others

With both historical shifts: Old arrangements remain important, albeit no longer unique.
Where is California state government in 2013?
Poll #5

How many executives or managers do you know who have retired in the past year?

- 0-1
- 2-5
- 5+
Poll #6

When voter approval of the state legislature reached an all-time low in March 2010, what was the approval rating?

- 4%
- 9%
- 14%
Poll #7

Have you seen consecutive budget cuts in your agency’s budget over the past five years?

• Yes
• No
What trends are affecting state government?

- Baby Boomer retirement and loss of institutional memory
- Declining public perception of politics and government
- Great Recession economic hangover: tighter budgets, more scrutiny, more restrictions, and more requirements
Public agencies are being asked to

- do more complicated things – and do more of them,
- faster,
- with fewer resources and more detailed requirements,
- and with more public input, scrutiny, and criticism than ever before.
Questions

Any questions so far?
“Leadership under conditions of transformation is a collective and constantly redistributed function, and not the private property of the few or the one. The role of leadership is to engage in the quest (to pose the question) for the realization of human potential. And the goal of leadership is not the establishment of some perfect state (the right thing), but rather the heightened quality of the journey itself. The secret is out. We are all leaders, and there are plenty of us.”

*Harrison Owen, Founder, Open Space Technology quoted from* The Spirit of Leadership (1999, p. 4)
Collaborative leadership refers to facilitating change around complex issues that cannot be easily or durably managed by single entities, and that require multiple organizations to work together toward common goals.
Collaborative Leadership Skill Sets

- Open and maintain space for new conversations
- Establish collaborative governance structures
- Facilitate worthwhile meetings and conflict
- Negotiate ethically and effectively
- Effectively engage the general public
- Operate simultaneously within an organization, collaborative group, and network
- Assess, build, maintain, and make use of your network
Collaborative Leadership and Network Effects

- Value comes from connections between people, projects, and resources
- Results are emergent
- Collaborative leaders serve as “node experts”
The results tend to:
-- be achieved faster and more cheaply

-- create multiple benefits

-- have deeper support and longer durability
The Framework: Knowing Yourself

The work of Donald Clifton and Marcus Buckingham

- Shift from filling gaps to building on your strengths
  -- executing, influencing, making connections, thinking strategically
Which of the following is NOT a core skill set of collaborative leadership?

A. Opening and maintaining space for new conversations
B. Negotiating based on interests
C. Accounting for an agency’s expenditures
D. Helping groups work productively through conflict
E. Establishing a horizontal governance structure
A **strength** involves the ability to perform an activity consistently, with near perfect execution, and derive joy and satisfaction from this.

Collaborative leaders recognize and are able to harness their own strengths and those of others.
Questions

Are there any questions at this point?
The Framework: Spectrum of Public Participation

From the International Association for Public Participation (IAP2)

- **Inform** – provide with information, help understand
  - Novato Baylands Communication Plan
  - California Tribal Emergency Management Summit
Spectrum of Public Participation (cont.)

• **Consult** – obtain feedback on information

• *Yolo County Realignment Community Strategic Plan Workshop*

• *Sonoma County Budget Dialog*
• **Involve** – work directly with the public to ensure concerns & ideas are considered

  • *Lake Davis Pike Eradication Project*
  
    • *California Census 2010*
Spectrum of Public Participation (cont. 3)

- **Collaborate** – partner in each aspect of the process, from developing ideas through identifying a preferred solution

- *Mental Health Suicide Prevention and Stigma and Discrimination Reduction Plans*

- *California Fish and Wildlife Strategic Vision*
• **Empower** – grant decision-making authority to another entity

• *Citizens Redistricting Commission*
Spectrum Take-Home Messages

Any point on the spectrum is legitimate
The spectrum is a great tool for helping you manage public and stakeholder expectations!
The Framework: 5 Phases of a Process

1. **Assessment** – determine whether convening is appropriate

2. **Convening** – establish representation and governance

3. **Mutual Education** – clarify issues, interests, and information
4. **Negotiation** – establish criteria for decision-making, develop inclusive agreements

5. **Implementation** – monitoring and adaptation

*Phases may be revisited*
Questions

Are there any questions at this point?
1. Tell me, What is the change?

2. How will it affect me – personally?

3. How will we do it?

4. Why is it a good idea? (Don’t start here!)

5. Who else needs to be involved?

6. Ask me, How can the effort be improved?
1. What is your desired outcome?

2. What are the questions you need answered?

3. Who needs to be in the conversation?

4. What information do they need to make informed decisions?

5. What is the best way to engage this particular group?

6. How will you work through likely sticking points?

7. What are the anticipated next steps?
The work of Roger Fisher and William Ury

1. Separate the people from the problem
2. Focus on interests, not positions
3. Invent options for mutual gain
4. Insist on objective criteria
The work of Patrick Lencioni

1. Trust is the foundation of
2. Productive conflict, which is the basis of
3. Commitment, which supports
4. Accountability, which advances
5. Group interests
Collaborative Group Charters: Basics

The basics:

1. What’s the purpose of the effort?

2. Who makes the final decision(s)?

3. What are the group’s tasks and deliverables?
Collaborative Group Charters: Body

The body:

4. How is the group structured?

5. Who is represented?

6. What are the different roles and responsibilities?
The loose ends:

7. Ground rules and other process agreements

8. Communication and media protocol

9. Legal compliance and legal binding

10. Review and amendment process
Are there any questions at this point?
Collaborative Ethics

1. Law abiding

2. No conflicts of interest

3. Fair, transparent, inclusive process
Collaborative Ethics (cont.)

4. Executive commitment to process and outcomes
   5. Confidentiality as needed
   6. Accessible documentation
Collaborative Ethics (cont.)

7. Appropriate tools and methods

8. Diverse methods of engagement

9. Atmosphere of safety and mutual respect
Questions

Are there any questions at this point?
Classic Examples of Purpose and Structure

1. Classic Interagency Team
   Southern California Wetlands Recovery Project

2. Classic Stakeholder Process
   Statewide Disability Advisory Council
3. Tight Technical-Policy Coupling

*Mokelumne River Avoided Cost Analysis*

4. Statewide Process

*California Water Plan*
Final Examples

5. Civic Engagement

*Sierra National Forest Plan Communication and Collaboration Plan*

4. Overlapping Networks

*Dinkey Forest Landscape Restoration Project and Southern Sierra Integrated Regional Water Mgmt.*
The Framework: Network Skills

1. **Assessing** – who you know, who you need to know

2. **Building** – your plan to establish new relationships, and maintain your existing relationships
3. Making use of your network

Articulation involves ensuring that parallel efforts are aware of one another, share information and products, and aim for consistency and compatibility.

Integration involves adopting common goals and objectives or policies, and committing resources and expertise to these.
Individual Thinking Question

Looking at your most exciting project, are there any parallel efforts that you would like to better articulate with your work?

What are your immediate next steps to accomplish this?
4. Evaluating and communicating success

5. Cultivating a reflective learning community
Are there any final questions at this point?
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