

PPA 270
Introduction to Collaborative Policy
California State University, Sacramento
Fall 2009

Wednesdays 6:00 - 8:50 pm
September 2 – December 16
Center for Collaborative Policy, 815 S Street

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Office Hours
Tuesdays 4:15-5:45 pm, 3033 Tahoe Hall
Other days/times by appointment

Rationale and Synopsis

This seminar explores how collaborative strategies can be used to improve public decisionmaking, public administration, and policy implementation. The course is designed as an introduction to the emerging phenomenon of collaborative policy, with an emphasis on the major conceptual issues, theories, and debates.

One important goal of the course is to prepare students, if they so choose, to succeed in the two subsequent courses that make up the three-course sequence leading to the Certificate in Collaborative Policy. As the titles suggest, PPA 271 "Practice of Collaborative Policy Making" and PPA 272 "Advance Practice in Collaborative Policy" provide hands-on training in the use of collaborative skills and techniques. In contrast to these "how-to" courses, PPA 270 provides foundational knowledge. The material should benefit students specializing in collaborative governance, as well as those who will incorporate collaborative approaches into their professional practice as one set of tools among many. PPA 270 is designed to equip students to recognize when collaborative strategies might be appropriate, and to evaluate the outcomes of a process—whether collaborative or conventional.

The readings heavily emphasize examples from environmental and natural resource policy, with a particular emphasis on California water policy and watershed management. One reason is that the majority of innovation in collaborative methods that has occurred over the last 20 years has occurred in these fields. A second, related reason is that the majority of scholarship on collaborative policy has focused on case studies of natural resource issues. Third, your instructor's expertise lies in these policy areas, and fourth, so does the bulk of the client portfolio for our guest speakers. Students are encouraged throughout the course to contemplate how lessons gleaned from the examples discussed in class can inform their own professional work.

The course relies significantly on guest speakers to ground our discussion in real-world examples. This semester, each speaker is a professional facilitator/mediator from the Sacramento State Center for Collaborative Policy. The Center provides neutral facilitation for some of the most important and vexing policy problems facing California. Several of our guest speakers are accomplished scholars in addition to their roles as practitioners. We will hear from practitioners at various stages of their careers, from entry-level assistant facilitators to the executive director. Through their applied scholarship and tales from the trenches, the speakers will help us bridge theory and practice.

Core Learning Objectives

1. Appreciate the history and evolution of collaborative policy in the United States.
2. Understand the main concepts and terms that define the field of collaborative policy.
3. Understand the primary, state-of-the-art best practices for designing and implementing an effective collaborative process.
4. Grasp the main criteria that scholars have used to evaluate the outcomes of a collaborative process.
5. Become familiar with several theoretical frameworks that can be used to organize our knowledge of collaborative processes and outcomes.
6. Appreciate some of the arguments for and against collaborative approaches.

Textbook and Other Readings

The textbook for the course is an edited volume due to be published in January 2010. As one of the chapter authors, I'll share electronic copies of the manuscript with you, chapter by chapter.

Community-Based Collaboration: Making Sense of a Socio-Ecological Movement, Edited by E. Franklin Dukes, Karen Firehock, and Juliana Birkhoff, University of Virginia Press (in press, January 2010)

The reading assignments for each week are listed in the Calendar below. Besides the text, the readings consist of journal articles downloadable from the Sac State library, plus a number of book chapters with free online access through the publisher. All readings will be provided through the SacCT website for the course.

Course Format and Graded Assignments

Format. A typical class may include lecture, discussion, and group exercises. Most weeks, one or more students will lead the class discussion of an assigned reading. It is imperative that all students come to class prepared to discuss the readings. All readings, assignments, and grades will be posted to the website.

Class Participation (adapted from E. F. Dukes)

Beginning with class #2, participation is rated for each class on a five-point scale from 0 through 100 using the criteria below. In graduate school, you will likely learn as much from your classmates as you do from your instructors. I encourage you to strive for "100" for your own and others' benefit.

- 0 *Second (and subsequent) unexcused absence.*
- 75 *First unexcused absence.*
- 75 *Present, not disruptive.* Generally unprepared to contribute to class discussion.
- 85 *Moderate participation.* Offers straightforward information (e.g., straight from the case or reading) without elaboration. Does not offer to contribute to discussion, but contributes to a moderate degree when called on.
- 90 *Significant participation.* Contributes well to discussion, responds to other students' comments, thinks through own comments, questions others in a constructive way, offers and suggestions that may contradict the majority opinion.
- 100 *Exemplary participation.* Contributes in a very substantial and supportive way, keeps analysis focused, responds very thoughtfully to other students' comments, contributes to cooperative argument-building, suggests alternative ways of approaching material, and helps the class analyze various alternatives.

Discussion Memo and Leading Discussion (2 pages). Each student is required to lead a discussion of one of the assigned articles. At the beginning of class, the student(s) leading discussion that day will provide the class with a list of 3 to 6 discussion questions, and will turn in a 2-page memo distilling key insights from the readings. Guidelines and a sign-up sheet will be distributed during the first class.

Case Study Paper (8 to 12 pages). Mastering any subject involves learning how to translate insights from specific examples to general principles and back again to specific examples. To get a good feel for what collaborative policy means, there's nothing better than delving into the details of a particular case. Although we will make extensive use of case studies throughout the course, this assignment is your opportunity to dive deeply into a single case study right off the bat. Each student will select their own case to study, with assistance and approval from the instructor. Data/information for the paper must be gleaned from at least three independent sources such as published articles or book chapters, online information about the case (e.g. meeting minutes), and/or original interviews. The paper should describe the policy issue, the stakeholders, the structure of the process, and any outputs and outcomes achieved to date. Detailed instructions and a grading rubric will be distributed during the second class

Issue Paper (8 to 12 pages). This is your opportunity to dive deeply into a conceptual topic, policy issue, or public organization that interests you. The assignment is somewhat flexible, and all paper topics must be approved by the instructor in advance. However, most papers will fall within one of the following three categories:

- (a) Conceptual treatment of a particular subtopic. For example, "Can under-represented communities participate meaningfully in collaborative processes?"
- (b) Conflict assessment. Evaluate the potential for successfully applying collaborative strategies in a particular policy debate.
- (c) Collaborative capacity of an agency or organization. Discuss what it might take to make collaborative strategies become more routine for a specific organization.

Detailed instructions and a grading rubric will be distributed on October 14.

Final Exam. Throughout the course, we will gradually construct a glossary of key terms and concepts that arise through the readings and class discussion. The exam will test each student's fluency in the vocabulary of collaborative policy. Exam questions will require short-answer definitions and/or examples of applications.

Assignment	Weight	Grading Scheme	Due
Class Participation	30%	0,75,85, 90,100	Weekly
Discussion Memo	5%	0,80,90,100	Varies
Case Study Paper	20%	0,75,80,85,90,95,100	Oct 28
Oral Presentation	5%	0,80,90,100	Dec 2,9
Issue Paper	20%	0,75,80,85,90,95,100	Dec 9
Final Exam	20%	0-100	Dec 16

Course Policies

Missed Classes. Please tell me in advance if you will miss a class. Unexcused absences will be reflected in the class participation grade, which constitutes 35% of the course grade. Please stay home if you are not feeling well.

Missed Deadlines. Assignments turned in late will be docked 5 points per day. The penalty will be waived if approved in advance, typically for extreme circumstances such as a family emergency or severe illness.

Calendar

Week 1, September 2

What Is Collaborative Policymaking and What Is It Good For?

"Preface" in *Community-Based Collaboration*.

Firehock, Karen (2010) "An Overview of the Community Based-Collaborative Movement in the United States." Chapter One in *Community-Based Collaboration*.

Sabatier, et al. (2005) "Collaborative Approaches to Watershed Management." Chapter One in *Swimming Upstream: Collaborative Approaches to Watershed Management*. Edited by Paul A. Sabatier, Will Focht, Mark Lubell, Zev Trachtenberg, Arnold Vedlitz, and Marty Matlock, (MIT Press).

Innes, Judith E. and David E. Booher (2003) "Collaborative Policy Making: Governance through Dialogue." in *Deliberative Policy Analysis: Understanding Governance in the Network Society*. Edited by M. A. Hajer and H. Wagenaar, (Cambridge University Press).

Week 2, September 9

History of Collaborative Policymaking

Goldsmith, Stephen and William D. Eggers (2004) "The New Shape of Government." Chapter One in *Governing by Network: The New Shape of the Public Sector*. (Brookings Institution).

John Gastil and William M. Keith (2005) "A Nation that (Sometimes) Likes to Talk: A Brief History of Public Deliberation in the United States." Chapter One in *The Deliberative Democracy Handbook: Strategies for Effective Civic Engagement in the Twenty-First Century*. Edited by John Gastil and Peter Levine, (Jossey-Bass).

Collaborative Democracy Network (2006) "A Call to Scholars and Teachers of Public Administration, Public Policy, Planning, Political Science, and Related Fields." *Public Administration Review*, December, Special Issue.

Sabatier, Paul A., Chris Weible, and Jared Ficker (2005) "Eras of Water Management in the United States: Implications for Collaborative Watershed Approaches." Chapter Two in *Swimming Upstream*.

Mazmanian, Daniel A. and Michael E. Kraft (2009) "The Three Epochs of the Environmental Movement." Chapter One in *Toward Sustainable Communities: Transition and Transformations in Environmental Policy, Second Edition*. Edited by Daniel A. Mazmanian and Michael E. Kraft, (MIT Press).

Week 3, September 16

What Collaboration Can Achieve: Evaluating Outcomes, Part One

Dukes, E. Franklin (2004) "What We Know About Environmental Conflict Resolution: An Analysis Based on Research." *Conflict Resolution Quarterly* 22(1-2): 191-220.

McKinney and Field (2008) "Evaluating Community-Based Collaboration on Federal Lands and Resources." *Society and Natural Resources* 21:419-429.

Ambruster, Ariel (2008) "Collaborative Versus Technocratic Policymaking: California's Statewide Water Plan." (Center for Collaborative Policy).

Week 4, September 23

Introduction to Theories of Collaborative Planning

Guest Speaker: **David Booher**, FAICP, Senior Policy Advisor, CCP

Booher, David and Judith Innes (2006) "Complexity and Adaptive Policy Systems: CALFED as an Emergent Form of Governance for Sustainable Management of Contested Resources." Proceedings from the 50th Annual Meeting of the International Society for the Systems Sciences.

Leach, William D. (2010) "Building a Theory of Collaboration." Chapter Six in *Community-Based Collaboration*.

Sabatier, Paul, William Leach, Mark Lubell, and Neil Pelkey (2005) "Theoretical Frameworks Explaining Partnership Success." In *Swimming Upstream*.

Week 5, September 30

What Collaboration Can Achieve: Evaluating Outcomes, Part Two

Guest Speaker: **Christal Love**, Assistant Facilitator, CCP

Council on Environmental Quality (2007) *NEPA and Collaboration: A Handbook for NEPA Practitioners*, pp 1-35.

Dietz, Thomas and Paul C. Stern, editors. (2008) "Executive Summary" and "Preface" in *Public Participation in Environmental Assessment and Decision Making* (National Academy of Sciences).

Dietz, Thomas and Paul C. Stern, editors. (2008) "The Effects of Public Participation." Chapter Three in *Public Participation in Environmental Assessment and Decision Making* (National Academy of Sciences): pp. 75-94.

Leach, William D., Neil W. Pelkey, and Paul A. Sabatier (2002) "Stakeholder Partnerships as Collaborative Policymaking: Evaluation Criteria Applied to Watershed Management in California and Washington." *Journal of Policy Analysis and Management* 21(4, Fall): 645-670.

Week 6, October 7

What Works: Designing Effective Collaborations

Guest Speaker: **Susan Sherry**, Executive Director and Founder, CCP

"Five Stages of Collaborative Decisionmaking on Policy Issues"

<http://www.csus.edu/ccp/collaborative/fivestages.pdf>

"Conditions Favorable to Initiate a Collaborative Process"

<http://www.csus.edu/ccp/collaborative/initiate.stm>

"Conditions Needed to Sustain a Collaborative Policy Process"

<http://www.csus.edu/ccp/collaborative/sustain.stm>

Ansell, Chris and Alison Gash (2008) "Collaborative Governance in Theory and Practice." *Journal of Public Administration Research and Theory* 18:543-571.

Lubell, Mark, William D. Leach, and Paul A. Sabatier (2009) "Collaborative Watershed Partnerships in the Epoch of Sustainability." In *Toward Sustainable Communities: Transitions and Transformations in Environmental Policy, 2nd Edition*. Edited by Daniel A. Mazmanian and Michael E. Kraft, (MIT Press).

Hughes-McDermott, Ann Moote, and Cecilia Danks (2010) "Effective Collaboration: Overcoming External Obstacles." Chapter Four in *Community-Based Collaboration*.

Week 7, October 14

Integrating Science and Policy, Part One

Guest Speaker: **Adam Sutkus**, Managing Senior Mediator, CCP

Sutkus, Adam (2007) "Collaboration: A Critical Emerging Trend" in "Special Section: The State of Emergency Management" *PA Times*, August 2007.

Curtin, Charles (2010) "Integrating and Applying Knowledge from Community-Based Collaboratives: Implications for Natural Resource Management." Chapter Two in *Community-Based Collaboration*.

Fernández-Giménez, María E. and Heidi Ballard (2010) "How CBCs Learn: Ecological Monitoring and Adaptive Management." Chapter Three in *Community-Based Collaboration*.

Peterson, M. Nils, Markus J. Peterson, and Tarla Rai Peterson (2005) "Conservation and the Myth of Consensus." *Conservation Biology* 19(3): 576–578.

Leach, William D. 2006. "Theories about Consensus-Based Conservation." *Conservation Biology* 20(2): 573–575.

Peterson, M. Nils, Markus J. Peterson, and Tarla Rai Peterson (2006) "Why Conservation Needs Dissent." *Conservation Biology* 20(2): 576–578.

Week 8, October 21

Integrating Science and Policy, Part Two

Guest Speaker: **Dorian Fougères, PhD**, Assistant Facilitator, CCP

Fougères, Dorian (2008) "Institutionalizing Scientific Practices in California Water Management: An Evaluation and Envisioning of the CALFED Science Program."

Ozawa, Connie P. (2006) "Science and Intractable Conflict." *Conflict Resolution Quarterly* 24(2): 197-205.

Karl, Herman A., Lawrence E. Susskind, and Katherine H. Wallace (2007) "A Dialogue, Not a Diatribe: Effective Integration of Science and Policy through Joint Fact Finding." *Environment* 49(1): 20-34.

Bingham, Gail (2003), *When the Sparks Fly: Building Consensus When the Science is Contested*. RESOLVE, Washington, DC.

Week 9, October 28

Collaboration and Democracy

*** Case Study Papers Due ***

McCloskey, Michael (1996) "The Skeptic: Collaboration Has Its Limits." *High Country News* (May13, 1996).

Coglianesi, Cary (2002) "Is Satisfaction Success? Evaluating Public Participation in Regulatory Policymaking." Kennedy School of Government, Faculty Research Working Papers Series RWP02-038.

- Leach, William D. (2006) "Collaborative Public Management and Democracy: Evidence from Western Watershed Partnerships." *Public Administration Review* 66(s1): 100-110.
- Agger, Annika and Karl Löfgren (2008) "Democratic Assessment of Collaborative Planning Processes." *Planning Theory* 7(2): 145–164.

Week 10, November 4

Public Participation and Civic Engagement

Guest Speaker: **Jodie Monaghan**, Associate Mediator, CCP

- Creighton, James L. (2005) "Defining what Public Participation Is (and Is Not)." Chapter One in *The Public Participation Handbook*. (John Wiley & Sons).
- Innes and Booher (2004) "Reframing Public Participation: Strategies for the 21st Century." *Planning Theory & Practice* 5(4): 419–436.
- Amsler, Terry (2007) "Planning Public Forums: Questions to Guide Local Officials." (Institute for Local Government, Sacramento, CA).
- Sirianni, Carmen (2009) Pages 1-25 of "Government as Civic Enabler," in *Investing in Democracy: Engaging Citizens in Collaborative Governance*, (Brookings Institution 2009).

Week 11, November 11

Veteran's Day. Campus is closed. No class this week.

Week 12, November 18

Building the Collaborative Capacity of Public Organizations

- Leach, William D. (2006) "Public Involvement in USDA Forest Service Policymaking: A Literature Review." *Journal of Forestry* 104(1): 43-49.
- Walker, Gregg and Susan Senecah (2010) "Collaborative Governance, Institutions and Actors." Chapter Five in *Community-Based Collaboration*.
- League of California Cities (2008) "Civic Participation in California: How Local Agencies Are Involving the Public, Building Trust and Making Better Decisions."

Week 13, November 25

Class canceled due to mandatory furloughs.

Week 14, December 2

Presentation of Topic Papers or Case Studies,
(10 students, each 10 minutes + 5 minutes Q&A = 2 hours, 30 minutes)

Week 15, December 9

*** Topic Papers Due ***

Presentation of Topic Papers or Case Studies,
(10 students, each 10 minutes + 5 minutes Q&A = 2 hours, 30 minutes)

Week 16, December 16

*** Final Exam 5:15 to 7:15 pm ***