

CALIFORNIA STATE UNIVERSITY, SACRAMENTO

PPA 270: Introduction to Collaborative Policy Making

Fall, 2015

Professor Ted Lascher
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Class meeting time and place:
Mondays, 6-8:50, Center for
Collaborative Policy (CCP), 815
S Street, first floor
Office hours: Mondays 4:00-6:00
& Thursdays 5:00-6:00 at CCP, and
by appointment in my Tahoe Hall
office

OVERVIEW

This seminar is designed to explore, understand, and use the collaborative approach to policy making and governance. We will consider how this form and practice is being used to break out of traditional “wicked” policy controversies and produce policy innovations and sometimes consensus for action. The seminar will explore the theory on which collaborative decision making is based and examine the benefits and costs of a collaborative approach. Additionally, the course will examine various challenges to collaborative governance such as legal structures that may discourage it, difficult people who may potentially sabotage it, and the inattention of the mass public. The latter part of the class will focus on how to put the collaborative approach into practice.

PPA 270 is designed as the first class in a two course sequence (the other being PPA 272). PPA 272 is focused on advanced practice. Students who complete both courses with satisfactory grades will be eligible for the Collaborative Governance Certificate.

SPECIFIC LEARNING GOALS

At the end of PPA 270 it is expected that students will understand:

1. Basic theories and analysis of problems with traditional decision making methods that underlay the collaborative approach.

2. The components of the collaborative approach identified as critical by the Center for Collaborative Policy Making.
3. Common challenges that face the collaborative approach.
4. How to conduct an assessment of whether a collaborative process may or may not be appropriate.
5. The keys to effective collaboration identified by Straus.
6. The available evidence as to the gains and losses from collaboration in practice.

CONDUCT OF THE SEMINAR

This course will rely heavily on student participation. We will make regular use of exercises designed to illustrate principles and give students practice in collaborative methods. Students may be asked to take the lead in facilitating class discussions. To be successful, students will need to read class materials prior to class, prepare for the exercises, and engage fully in each session.

READINGS

Two books are required and may be purchased at the Hornet Bookstore (the Mutz book can also be rented from the Bookstore). The books are as follows:

Mutz, Diana C. 2006. *Hearing the Other Side: Deliberative versus Participatory Democracy*. New York: Cambridge University Press.

Straus, David. 2002. *How to Make Collaboration Work: Powerful Ways to Build Consensus, Solve Problems, and Make Decisions*. San Francisco: Berrett-Koehler Publishers.

Additionally, there are other readings that will be on SacCT or otherwise made available. Kennedy School of Government case studies will either be on SacCT or may be purchased from the case program Web site, <http://www.ksgcase.harvard.edu/>.

ASSIGNMENTS AND GRADING WEIGHTS

Multiple assessment methods will be used in the course. There will be a short written assignment due the second week and a paper on interest and positional based bargaining due in the fifth week. There will also be an open book examination during the first portion of class on October 19. Additionally, there will be a major group project in which students will analyze a real world effort at collaboration. Students will identify projects to analyze and also help to establish ground rules for the group assignment. There will be an individual take-home final examination. I will also assess general class participation including exercises and class discussion.

Assignment due dates are specified in the class schedule section at the end of this syllabus.

Course grades will be determined in accordance with the following weights:

Final exam	25%
Midterm exam	25%
Group project	20%
Paper	15%
Class participation	10%
Short assignment on failure to collaborate	5%

SPECIAL NEEDS RELATED TO DISABILITIES

Should you need assistance with portions of class due to disabilities, please let me know as soon as possible. The University offers services to student with disabilities and I would be glad to refer you to the appropriate campus unit.

ACADEMIC HONESTY

I take issues of academic honesty (including avoiding plagiarism) seriously and you should as well. If you are unfamiliar with the specifics of University policy in this area I recommend you review the appropriate section of the on-line University Policy Manual: <http://www.csus.edu/umannual/AcademicHonestyPolicyandProcedures.htm>.

DISTRACTIONS

Please do not use cell phones or surf the Web during class. You are welcome to bring a laptop computer to take notes or for other purposes specified by your instructor, but I may prohibit laptops if they are being used inappropriately.

LATE ASSIGNMENTS AND MISSED CLASSES

I will accept late assignments (or allow for a make-up examination) only in highly unusual circumstances. At my discretion, a student who misses a deadline may be given a make-up assignment. Whether or not a penalty will be assessed depends on the reason (e.g., a family emergency constitutes a good reason; a competing requirement for another course does not).

I expect students to attend all class sessions unless they have a compelling

reason not to do so. You should notify me in advance if you need to miss a class. Except under very unusual circumstances, a student who misses three classes will be penalized one entire grade (e.g. an A- for the course will become a B-), and a student who misses more than three classes will receive a failing grade.

CLASS SCHEDULE

Part One: Collaboration Overview and Theory

AUGUST 31. Introduction: Collaboration & Deliberation... Not Always Well Done

Read: 1) "Public Conversations and Legislative Deliberations: Oregon's Governor Barbara Roberts Takes on Fiscal Reform," Kennedy School of Government Case Study, Harvard University, 1235.0 & 1235.1 (regular case plus sequel); 2) John Gastil and William M. Keith, "A Nation that (Sometimes) Likes to Talk: A Brief History of Public Deliberation in the United States," in Gastil and Peter Levine, *Deliberative Democracy Handbook: Strategies for Effective Civic Engagement in the Twenty First Century* (Jossey-Bass, 2005)

SEPTEMBER 7: No class, Labor Day

SEPTEMBER 14. Why Do People Fail to Collaborate and How Is the Collaborative Approach Different?

Assignment Due: short analysis of failure to collaborate

Read: 1) "Lead Poisoning, Part B," Kennedy School of Government Case Study, Harvard University, C-124.0; 2) Eugene Bardach, *Getting Agencies to Work Together*, chapter 1; 3) Judith E. Innes and David E. Booher, *Planning with Complexity: An Introduction to Collaborative Rationality for Public Policy* (Routledge, 2010), chapters 1 & 2

Guest Speaker: David Booher, formerly with CCP

SEPTEMBER 21. Elements of a Collaborative Approach

Read: 1) DIAD model, Five Stages of Collaborative Decisions on Policy Issues, Conditions Favorable to Initiate an Interest-Based Collaborative, and Conditions for Authentic Dialogue (download from CCP Web site); 2) Water Forum agreement summary, pages 1-7 (download from <http://www.waterforum.org/PDF/INTRO.PDF>); 3) Alice M. Schumaker, "In Search of a Model for Effective Group Projects: From the MPA Student Perspective," *Journal of Public Affairs Education*, 11 (January, 2005), pp. 21-34

Guest Speakers: Susan Sherry, Adam Sutkus, CCP

An (Important) Digression: Selecting Group Projects, Setting Group Norms

SEPTEMBER 28: Deeper into Interest Based and Principled Negotiation, Part One

Read: 1) Robert Fisher, William Ury, and Bruce Patton, *Getting to Yes: Negotiating Agreement Without Giving In*, Second Ed. (Penguin Books, 1991), chapters 1 & 3; 2) Brenda L. Kennedy "Interest-Based Collective Bargaining: A Success Story," Industrial Relations Centre, Queen's University, 1999

Guest Speaker: Judge Matthew Guasco, Ventura County Superior Court

OCTOBER 5: Deeper into Interest Based and Principled Negotiation, Part Two

Paper Due: negotiation analysis

Read: case study to be provided

Video to Be Viewed in Class: "Contract Negotiations between Homewood-Flossmoor High School (Illinois) and the Teachers Union"

Part Two: Challenges to Effective Collaboration

OCTOBER 12. Challenges: Difficult People, Open Meeting Laws

Read: 1) Aaron James, *A**holes: A Theory*, selections (Doubleday, 2012); 2) Lauri Diana Boxer-Macomber, "Too Much Sun? Emerging Challenges Presented by California & Federal Open Meeting Legislation to Public Policy Consensus-Building Processes" (download from CCP Web site); 3) other materials related to open meeting laws to be provided

Guest Speaker: Caelen McGee, CCP

OCTOBER 19. Mid-Term Exam and Mid-Semester Reflections

Mid-Term Exam during first part of classes

Read: Jennifer W. Reynolds, "Breaking BATNAS: Negotiation Lessons from Walter White," *New Mexico Law Review* (2015), forthcoming

Video to Be Viewed in Class: "Breaking Bad" segment

NOVEMBER 16. Assessing Suitability for a Collaborative Process

Read: 1) CCP, "Assessment Report: Government, Culture and Climate of California State University, Sacramento (download form CCP Web site); 2) Lawrence Susskind and Jennifer Thomas-Larmer, "Conducting a Conflict Assessment," in Susskind, McKearnen, and Thomas-Larmer, eds., *The Consensus Building Handbook: A Comprehensive Guide to Reaching Agreement* (Sage Publications, 1999)

Guest speaker: To be announced

OCTOBER 26. Challenge: the Willingness of the Public to Get Involved, Part 1

Read: 1) David Sumi, "What the Public Really Wants Out Of Public Involvement: A Squeaky Wheel Survey of Water Quality Stakeholders," MPPA thesis, 2008 (selections); 2) John Hibbing and Elizabeth Theiss-Morse, *Stealth Democracy: Americans' Beliefs about How Government Should Work* (Cambridge University Press, 2002), pp. 1-6; 3) Mutz, *Hearing the Other Side*, chapters 1-3

Guest Speaker: To be announced

NOVEMBER 2 Challenge: the Willingness of the Public to Get Involved, Part 2

Read: Mutz, *Hearing the Other Side*, chapters 4-5

NOVEMBER 9. Assessing Suitability for a Collaborative Process

Read: 1) CCP, "Assessment Report: Government, Culture and Climate of California State University, Sacramento (download form CCP Web site); 2) Lawrence Susskind and Jennifer Thomas-Larmer, "Conducting a Conflict Assessment," in Susskind, McKearnen, and Thomas-Larmer, eds., *The Consensus Building Handbook: A Comprehensive Guide to Reaching Agreement* (Sage Publications, 1999)

Guest speaker: Dave Ceppos, CCP

NOVEMBER 16: So, What Exactly Does Collaboration Buy Us?

Read: 1) William D. Leach, "Collaborative Public Management and Democracy: Evidence from Western Watershed Partnerships," *Public Administration Review*, 66 (December 2006), pp. 100-110; 2) Mark Lubell, "Collaborative Environmental Institutions: All Talk and no Action?," *Journal of Policy Analysis and Management* 23 (2004), pp. 549-573; 3) Chris Ansell and Alison Gash, "Collaborative Governance in Theory and Practice," *Journal of Public Administration Research and Theory* 18 (2008), pp. 543-571

Guest speaker: Andrew Sturmfels, Governor's Office of Business and Economic Development

Part Three: Nuts and Bolts of Collaboration in Practice

NOVEMBER 23: Applying Straus' Principles, Part One

Read: 1) Judith E. Innes and Sarah Connick, "San Francisco Estuary Project," in Susskind, McKearnen, and Thomas-Larmer, eds., *The Consensus Building Handbook: A Comprehensive Guide to Reaching Agreement* (Sage Publications, 1999); 2) Straus, *How to Make Collaboration Work*, chapters 1-4

NOVEMBER 30: Applying Straus' Principles, Part Two

Read: 1) John Forester, "Making Participation Work When Interests Conflict: Moving from Facilitating Discussion and Moderating Debate to Mediating Negotiations," *Journal of the American Planning Association* 72 (2006), pp.447-456; 2) Straus, *How to Make Collaboration Work*, chapters 5-7

DECEMBER 7: Group Presentations & Course Wrap-Up

Group project papers due

Take home final assignment due electronically no later than 10:00 a.m. on Friday, December 18