

CALIFORNIA STATE UNIVERSITY, SACRAMENTO

Department of Public Policy and Administration

January 16, 2018

Collaborative Policy-Making: Advanced Practice (PPA 272)

(Spring 2018)

Course Description: This is a practice-driven and highly participatory course focused on advanced skills in collaborative policy-making. Topics include situation assessment, process design, negotiation, facilitation, cross-cultural dynamics, and ethics. Through scenarios, simulations, case studies, and class dialogue, students will explore how to apply the theories learned in PPA 270. Students will demonstrate their understanding through participation, group projects, and individual work products. Students who complete PPA 270 and PPA 272 with passing grades are eligible for the Certificate for Collaborative Governance awarded by California State University Sacramento.

Faculty:

- **Instructor of Record: Dr. Marcelle E. (“Marci”) DuPraw, Managing Senior Facilitator / Mediator and Director of Practice, Center for Collaborative Policy (instructor of record).** Office hours by appointment.
 - 916-995-5725
 - mdupraw@ccp.csus.edu
- **Mr. Adam Sutkus, Executive Director, Center for Collaborative Policy.** Office hours by appointment.
 - 916-445-2070
 - asutkus@ccp.csus.edu
- **Professor Edward (“Ted”) L. Lascher, Jr.,** Interim Dean, College of Social Sciences and Interdisciplinary. Office hours by appointment.
 - (916)278-4864
 - tedl@csus.edu

Location: Riverside Hall 1006.

- **Note:** If CCP moves to the Sacramento State downtown campus at 304 S Street during the semester the class will move there as well, provided there are sufficient accommodations for parking, etc.

Course Meeting Dates: 9:00am to 3:00pm on seven Saturdays (Feb. 3 and 17; March 3, 17, and 31; April 14 and 28).

Learning Objectives: When students have completed this course, they should be able to:

1. Analyze a public policy controversy and determine if it is amenable to a collaborative approach;
2. Design a basic collaborative policy-making process;

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3. Negotiate from an interest-based perspective, including demonstrating empathetic, accurate listening and building productive teams;
4. Understand how to select and work with a professional facilitator or mediator;
5. Identify a facilitator's main tasks in preparing to facilitate a collaborative policy-making process;
6. Understand common group dynamics and strategies for managing them;
7. Facilitate the small groups that often are building blocks of a collaborative policy-making process;
8. Be aware of common cross-cultural challenges that may arise during a collaborative policy-making process and how to bridge them;
9. Be aware of varied ethical dilemmas that can arise in collaborative policy-making; and
10. Demonstrate effective verbal and written communication.

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.

Required Readings:

- Our primary text will be the Facilitator's Guide to Participatory Decision-Making, by Sam Kaner (Jossey-Bass Business and Management Series, April 2014).
- Additionally, we will draw upon Getting to Yes by Fisher and Ury. Most of you will have used that book in PPA 210 and / or PPA 270. If not, you should obtain a copy; the book can be purchased cheaply from various Web sites and may also be available in libraries, as it remains very popular.
- Finally, the instructors may assign supplementary readings on an as-needed basis, and will let students know at the time they are assigned how to access any supplementary readings.

Course Requirements: Students must attend every session to complete the course. Students must read the course materials before each class, including the first session. Students will come to class with a list of their key insights and questions from the readings. Students will participate actively in negotiation role-plays, scenarios, and case study reviews. Students will prepare professional work products, including a conflict assessment; a collaborative policy-making design; a portfolio of materials for a stakeholder meeting (meeting invitation, agenda, ground rules, and meeting summary); and a final paper of up to five pages reflecting on what they student has learned in the course. Students must keep a journal of their learning insights, which the instructor will review in place of a midterm exam. Students may base the work products on content from class role-plays and scenarios or (with instructor approval) on real-world meetings.

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Grading: Your final grade will be based on both your in-class participation and your performance on the core assignments. Their relative weights are shown in the table below.

Assignment	% of Grade
1. In-class participation	20%
2. Conflict assessment	15%
3. Process design	15%
4. Stakeholder meeting portfolio	20%
a. Meeting invitation (2%)	
b. Meeting agenda (5%)	
c. Meeting ground rules (3%)	
d. Meeting summary (10%)	
5. Journal	10%
6. Final paper on learnings	20%

Special Needs Related to Disabilities: Should you need assistance with portions of class due to a disability, please let one of your instructors know as soon as possible. The University offers services to students with disabilities and we would be glad to refer you to the appropriate campus unit.

Academic Honesty: Your instructors take academic honesty (including avoiding plagiarism) very seriously, and you should as well. If you are unfamiliar with University policy in this area, I recommend you review the appropriate section of the on-line University Policy Manual, which can be found at: <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 your instructors reserve the right to prohibit laptops if students use them inappropriately.

Late Assignments and Missed Classes: The structure of this course (concentrated over a number of long Saturday sessions) makes it very difficult – if not impossible -- to make up an absence. We expect students to attend all class sessions unless they have a very compelling reason not to do so. You should notify one of your instructors in advance if you need to miss a class. Except under very unusual circumstances, a student who misses more than one class will receive a failing grade.

Only in highly unusual circumstances will your instructors accept late assignments. If you must miss a portion of class, it is your responsibility to obtain the notes from a fellow student. At your instructors' 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; a family emergency constitutes a good reason, while a competing requirement for another course does not.

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Course Schedule:

➤ **Module 1 – February 3: “Course Overview” and “Facilitation”**

- Readings: Kaner, Part I, Chapters 1-3 (pp. xi – 37)
- Topics:
 - Orientation to course and requirements (including learning journal and options for meetings to use as basis of “Stakeholder Meeting Portfolio”)
 - Roles in the Facilitation World (Facilitator, Mediator, Convener, Facilitative Participant)
 - Tasks of a Facilitator: prep, on site, and follow-up
 - Selecting and working with a professional Facilitator
- Practice: Facilitation skills
- Assignment:
 - Get learning journal started – make entries about what you are learning, at a minimum, for each “module day.” This will be the basis for your final paper. Instructors will review your journal during Module 4. Be sure to bring it with you that day, and that it is up to date.
 - Start thinking about what meeting you will use as the basis for your “Stakeholder Meeting Portfolio”

➤ **Module 2 – February 17: “Conflict Assessment”**

- Readings: Kaner, Part II, Chapters 4-6 (pp.41-87) + supplementary article
- Topics:
 - How to analyze a public policy conflict to determine if it is amenable to a collaborative problem-solving approach
 - What data to gather
 - How to arrange stakeholder interviews
 - What to ask stakeholders
 - Criteria for assessing fit with collaborative approach
 - Formats for presenting findings and recommendations
- Practice: Conflict assessment; interviewing skills; facilitation skills
- Assignments:
 - Conflict assessment – due by start of Module 3
 - Make journal entries
 - Obtain instructor approval for meeting you will use as the basis for your “Stakeholder Meeting Portfolio”

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➤ **Module 3 – March 3: “Process Design”**

- Readings: Kaner, Part II, Chapters 7-9 (pp.89-133) + supplementary article
- Topics:
 - What is a process design?
 - How does this differ from a meeting agenda?
 - Relationship of process design to conflict assessment
 - Range of formats for a process design
- Practice: Process design; facilitation skills
- Assignment:
 - Process design – due by start of Module 4;
 - Make journal entries

➤ **Module 4 – March 17: “Interest-Based Negotiation” (bring your journal to class!)**

- Readings: Kaner, Part II, Chapters 10-12 (pp. 135-187) + supplementary article
- Topics:
 - Review: interest-based negotiation vs. positional bargaining
 - Why it is helpful to help stakeholders focus on interests;
 - How to help them discern their interests;
 - Interest-based negotiation strategies for various phases of a collaborative policy-making process
 - Active listening skills
 - Expectations for “Stakeholder Meeting Portfolio” assignment
- Practice: Interest-based negotiation; active-listening skills; facilitation skills
- Assignment:
 - Obtain instructor feedback today on your learning journal; you must bring it to class today, and it must be up-to-date
 - Make journal entries
 - Stakeholder Meeting Portfolio – due by start of Module 6

➤ **Module 5 – March 31: “Advanced Facilitation – Cross-Cultural Bridge-Building”**

- Readings: Kaner, Part III, Chapters 13-15 (pp. 191-235) + supplementary article
- Topics:
 - Reflections on facilitation practice, challenges, and learnings so far
 - Check-in on progress with Stakeholder Meeting Portfolio
 - Common group dynamics and strategies for managing them
 - Common cross-cultural challenges that may arise during a collaborative policy-making process and how to bridge them
- Practice: Advanced facilitation skills, including cross-cultural bridge-building; interest-based negotiation; active-listening skills

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- Assignment:
 - Stakeholder Meeting Portfolio is due by start of Module 5 (today)
 - Make journal entries

- **Module 6 – April 14: “Team-Building” and “Special Challenges (Ethical Dilemmas and Breaking Deadlocks)”**
 - Readings: Kaner, Part III, Chapter 16, and Part IV, Chapters 17-20 (pp. 237-311)
 - Topics:
 - Role of teams in collaborative policy-making
 - Within constituency groups
 - Within multi-stakeholder groups (e.g., subgroups)
 - Four steps in building productive teams / four keys to diagnosing problems
 - Ethical dilemmas that can arise in collaborative policy-making and approaches for handling them
 - Deadlocks and strategies for breaking through
 - Expectations for final “learning” paper
 - Practice: Team-building; advanced facilitation skills, including dealing with ethical dilemmas and overcoming deadlocks; interest-based negotiation; active-listening skills
 - Assignment:
 - Stakeholder Meeting Portfolio is due by start of Module 5 (today)
 - Make journal entries
 - Start final “learnings” paper

- **Module 7 – April 28: “Synthesis”**
 - Readings: Supplementary article
 - Topics:
 - This day will focus on a “mega-role play” that challenges students to integrate and apply all they have learned
 - Course review
 - Reflections on learnings
 - Course evaluation
 - Time to make final journal entries / integrate into your final “learnings” paper (and then turn paper in)
 - Practice: Advanced facilitation skills, including cross-cultural bridge-building, addressing ethical challenges, and overcoming deadlocks; interest-based negotiation; active-listening skills; and team-building
 - Assignment:
 - Make final journal entries, complete and submit final “learnings” paper today