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## COLLABORATIVE GOVERNANCE

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*Unfortunately, much of the literature of public administration is based on a narrow (and essentially governmental) definition of the field. When linked to a governmental definition of public administration, the practices of government—voting, politics, budgets, personnel management, and service delivery—become the subject matter. When public administration is defined as all of the means by which the public functions, including government, the subject changes to patterns of human organization: the values of groups and organizations and how these values are expressed; how voluntary organizations, nonprofit organizations, businesses, and governments function; and how governmental, nongovernmental, and businesses organizations interact. We live in a world of shared power in which governmental, quasi-governmental, nonprofit, and private organizations engage in policymaking and policy implementation.*

--H. George Frederickson, *The Spirit of Public Administration* (1997, p.5)

### Learning Objectives

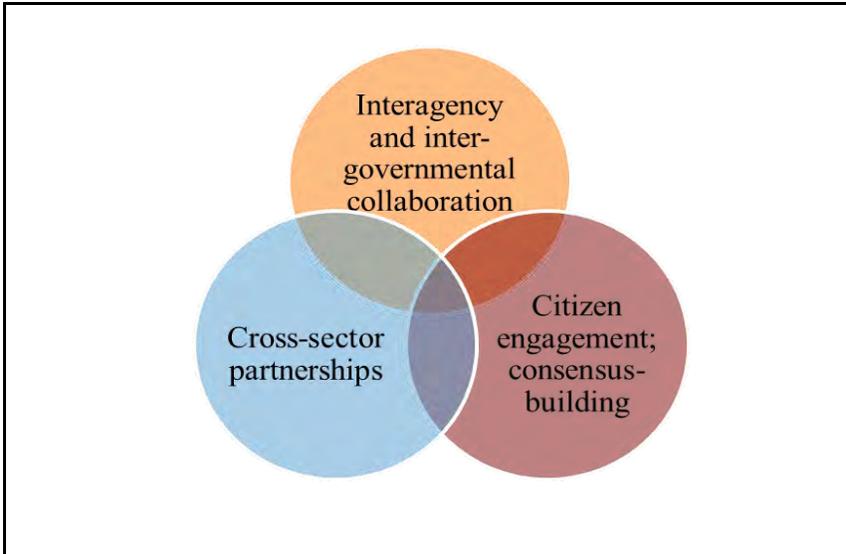
[Public administration](#) is a multidisciplinary, applied field concerned with how the public's business is conducted. As Frederickson explains (above), *public* administration historically has been—and for many, still is—synonymous with *government* administration. However, when we look at how the public's business is carried out in the U.S., we see much more than government. Thus the traditional way of thinking about public administration in terms of hierarchy and command-and-control, is giving way to a focus on networks and collaboration. In fact, many (including your professor) argue that [collaborative governance](#) is becoming *the frame* for U.S. public administration.

Collaborative governance is not so much a single concept or idea as it is an umbrella concept, an integrative concept, for the variety of ways in which public agencies collaborate (co-labors with) other stakeholders to accomplish public purposes, to create public value. Thus collaboration entails engaging citizens, partnering with organizations from the private and not-for-profit sectors, and also working with other public agencies. The Venn diagram below attempts to capture this idea.

The primary objectives of this course are to:

1. Gain a solid understanding of the role of collaborative governance in contemporary public administration, including the key concepts, approaches, and problems associated with collaborative public management.

2. Develop skills related to effective collaborative management.
3. Explore what it means to be a collaborative leader and begin developing your collaborative leadership competencies.



**Collaborative Governance as an Integrative Concept**

The required *UNCG Guide to Collaborative Competencies* is included as a helpful guide as you work through various literature and case studies in this class. It is a helpful frame of reference and you are encouraged to connect back what you are learning to it. Professor’s Stephens and Morse also developed a heuristic framework for approaching learning about collaborative governance in terms of process phases and questions associated with each (reproduced below). It is also a helpful way to organize and make sense of the material you are studying, particularly in thinking about how it connects to collaboration as you experience it in real-time.

*Phases of Collaborative Governance*

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Assessment	Initiation	Deliberation	Implementation
Is collaboration necessary? Are preconditions in place? Who are the stakeholders? Who might fill key roles (sponsor, convener, and facilitator)?	How to frame the issue? How to engage stakeholders? Who/what else is needed? What kind of process?	How to develop effective working group? What ground rules? How to invent options and decide? How to facilitate mutual learning?	Who will do what? How to broaden support? What kind of governance structure? How to monitor progress?

Source: Morse & Stephens (2012)

## Required Texts

Agranoff, Robert. 2012. *Collaborating to manage: A primer for the public sector*. Washington, D.C.: Georgetown University Press.

Emerson, Kirk, and L. Steven Smutko. 2011. *UNCG guide to collaborative competencies*. Portland, OR: Policy Consensus Initiative. (28 pages)

Sirianni, Carmen. 2009. *Investing in democracy: Engaging citizens in collaborative governance*. Washington, D.C.: Brookings.

You will also read **one** of the following “Book Club” books:

*Collaborative Governance*, by Donahue and Zeckhauser (2011)

*Social Media in the Public Sector*, by Ines Mergel (2012)

*Planning with Complexity*, by Innes and Booher (2010)

*Citizen, Customer, Partner: Engaging the Public in Public Management*, Thomas (2012)

*Beyond Consensus*, by Margerum (2011)

*Additional readings, both required and recommended, will be posted on the Sakai site, see <https://sakai.unc.edu/portal/site/pub725>*

## Other Recommended Texts

Agranoff, Robert. 2007. *Managing within networks: Adding value to public organizations*. Washington, D.C.: Georgetown University Press.

Agranoff, Robert, and Michael McGuire. 2003. *Collaborative public management: New strategies for local governments*. Washington, D.C.: Georgetown University Press.

Bingham, Lisa Blomgren, and Rosemary O’Leary (eds). 2008. *Big ideas in collaborative public management*. Armonk, N.Y.: M.E. Sharpe.

Block, Peter. 2009. *Community: The structure of belonging*. San Francisco: Berrett-Koehler.

Carlson, Christine. 2007. *A practical guide to collaborative governance*. Portland, OR: Policy Consensus Initiative.

Chrislip, David D. 2002. *The collaborative leadership fieldbook: A guide for citizens and civic leaders*. San Francisco: Jossey-Bass.

- Crosby, Barbara C., and John M. Bryson. 2005. *Leadership for the common good: Tackling public problems in a shared-power world*, 2<sup>nd</sup> ed. San Francisco: Jossey-Bass.
- Goldsmith, Stephen, and William D. Eggers. 2004. *Governing by network: The new shape of the public sector*. Washington, D.C.: Brookings.
- Gray, Barbara. 1989. *Collaborating: Finding common ground for multiparty problems*. San Francisco: Jossey-Bass.
- Huxham, Chris, and Siv Vangen. 2005. *Managing to collaborate: The theory and practice of collaborative advantage*. New York: Routledge.
- Kettl, Donald F. 2002. *The transformation of governance: Public administration for twenty-first century America*. Baltimore: Johns Hopkins University Press.
- Krile, James F. 2006. *Community leadership handbook: Framing ideas, building relationships, and mobilizing resources*. Nashville, TN: Fieldstone Alliance.
- Linden, Russell M. 2002. *Working across boundaries: Making collaboration work in government and nonprofit organizations*. San Francisco: Jossey-Bass.
- Linden, Russell M. 2010. *Leading across boundaries: Creating collaborative agencies in a networked world*. San Francisco: Jossey-Bass.
- Luke, Jeffrey S. 1998. *Catalytic leadership: Strategies for an interconnected world*. San Francisco: Jossey-Bass.
- Meek, Jack W., and Kurt Thurmaier (eds.). 2011. *Networked governance: The future of intergovernmental management*. Washington, D.C.: CQ Press.
- O'Leary, Rosemary, and Lisa Blomgren Bingham (eds.). 2009. *The collaborative public manager: New ideas for the twenty-first century*. Washington, D.C.: Georgetown University Press.
- Osborne, Stephen P. (ed). 2010. *The new public governance? Emerging perspectives on the theory and practice of public governance*. New York: Routledge.
- Straus, David. 2002. *How to make collaboration work: Powerful ways to build consensus, solve problems, and make decisions*. San Francisco: Berrett-Koehler.
- Sullivan, Helen, and Chris Skelcher. 2002. *Working across boundaries: Collaboration in public services*. London: Palgrave.
- Williams, Paul. 2012. *Collaboration in public policy and practice: Perspectives on boundary spanners*. Bristol: The Policy Press.

Wondolleck, Julia M., and Steven Lewis Yaffee. 2000. *Making collaboration work: Lessons from innovation in natural resource management*. Washington, D.C.: Island Press.

## Activities and Assignments

### *Readings*

There are two core textbooks for the course, along with additional required and recommended articles that will be available on the Sakai site. Additionally, you will select one more book from the list created by your professor that you will read and discuss with three of your colleagues. In all cases, I expect you to read carefully, take notes, and be prepared to discuss what you read in class. Look for connections across different readings and be particularly on the lookout for “big ideas.” You are *strongly encouraged* to keep a course journal of some sort to organize your thoughts.

### *Class Sessions*

Your professor is a proponent of [collaborative learning](#). Class sessions are not about transferring what is in the professor’s brain into the students’ brains. Rather, class sessions are an opportunity for everyone (professor and students) to *mutually engage in the process of creating knowledge*. This means that you are expected to be fully present in class, that you will come prepared, having read the material and taken notes, and hopefully have some questions. Class time will involve a mix of lecture, discussion, guest speakers, case-work, and other small group exercises. There is no “participation grade” per se, but your professor reserves the right to adjust final grades upward or downward based on exceptional participation or for unexcused (or un-made-up-for) absences. *If you have to miss class for any reason, it is your responsibility to make arrangements with the professor for possible make-up assignments.*

### *Class Memos*

You will prepare a total of eight concise memos (no more than one page) that offer your contribution to the class collaborative learning environment. These memos are *to the class* (i.e., not just the professor), so be prepared to share them with your colleagues during class time. Memos should demonstrate [critical thinking](#) and may include: *application* (relating concepts from the readings to real examples from your own experience or perhaps in the news), *critique*, or making *connections* with other readings. *Do not* just summarize an article and offer generic commentary. *Do* demonstrate that you are carefully reading the material and looking for contributions you can make to the classroom learning process. Some suggestions for memo topics are included in the class schedule below, but you are free to write about something else so long as it connects clearly with the readings for that week. You can only turn in one memo a week (due at class time) and all memos must be turned in by week 12 *except for your eighth and last memo*, which is *due the last class session*. For that memo, everyone will write based on the same prompt. It can be up to two pages long. Everyone must write a week 15 memo (consider it your final). *The last memo is weighted x3 (i.e. worth 30 points)*. (The eight memos combined will account for 50% of your final grade)

### **PA Book Club**

As noted above, you will read and discuss one additional book in a group of four of your colleagues. Think of this as your own PA book discussion club. You will all read the books and meet *at least* two times (preferably more) to discuss it and/or use the discussion board tool on Sakai to have a threaded discussion online. You will then prepare a book report that is *mostly* a careful *summary* of the book's contents, but also includes analysis in the form of *connecting* the book with the conceptual threads of this course (roughly about 2/3 summary, 1/3 analysis). Your colleagues should be able to read your report and have a really good handle on what the book is about, what its main points are, why it might be important to read, and so on. You will post your report on a Sakai page, and don't hesitate to take advantage of the electronic format (i.e. hyperlinks, embedded clips, etc.) the Monday before your scheduled class session (or earlier) so your colleagues have a chance to read ahead of time. The reports should be *no more* than 2,000 words. (30% of final grade)

### **Collaborative Governance Workshops**

The last three class sessions will include five, one-hour workshops corresponding with the topics of the five PA Book Club books. The reports will be the background reading for the workshops, but the content of the workshops *will not be* presentations on the books. Rather, they will be *workshops* designed to teach and develop specific competencies drawn from key concepts or practices in the books. They should focus on the practical, on key take-aways that the book club wants their colleagues to be sure to "get." Groups should be creative in planning their workshops. They should start with identifying *clear learning objectives*, and then design content appropriate to achieving those objectives. The audience will fill out a workshop evaluation afterward. (20% of final grade)

### **Grading**

*All of your work should reflect critical thinking, intellectual effort, and attention to detail.* Memos are worth 10 points each, except for the final memo which is worth 30 points. The book reports are worth 60 points and the workshops will be worth 40 points, based on a rubric posted on the Sakai site ahead of time. Grades in the 80-93% range correspond with a grade of "P" (Pass), meaning you have met these expectations, while 94% and above indicates an "H" (High Pass), reserved for *truly outstanding work* that merits special recognition. Below 80% corresponds with an "L" (Low Pass), meaning that the basic requirements were met, but the work is below standards expected of Carolina MPA students. Note: Sloppy writing will immediately drop an assignment to *at best* an L. *Do not turn in writing that has not been proof-read and properly cited.*

The university [Honor Code](#) applies to all of your work. Your memos *must be your own work*. Whenever you quote, paraphrase, or in any other way reference someone else's work, you should carefully cite it. You should err on the side of over-citing rather than under.

### **Schedule of Topics and Readings**

The topics and readings listed below are subject to modification as the semester goes along, as needed. All readings that are not in the primary texts will be on the Sakai site and are designated "required" or "recommended."

## Session

### Date

### Topics

### Required Reading

<b>1</b> 1/9	<b>Introduction to the Course</b> <ul style="list-style-type: none"><li>✓ Case: Whittier Sewer (in class)</li><li>✓ Defining public administration, governance, and collaborative governance</li><li>✓ Syllabus</li><li>✓ Finalize book clubs</li></ul> <p><i>How do you define public administration? Governance? How do they relate? How do the authors define collaborative governance? Can you think of examples of CGR's you have either been involved with or experienced in some way?</i></p>	Emerson et al (2012) Syllabus
<b>2</b> 1/16	<b>Conceptual Building Blocks</b> <ul style="list-style-type: none"><li>✓ Eight core CollabGov design principles</li><li>✓ Connection between CollabGov and democratic theory</li><li>✓ Range of collaborative activities</li><li>✓ Barriers to collaboration</li></ul> <p><i>How do you see CollabGov connecting with democratic theory or the American notion of "self-governance?" In your own public service work experience, what kinds of collaborative activities were you involved in? What was your impression of the utility of such activities? What barriers do you see to widespread collaboration by public service organizations?</i></p>	Sirianni chs 1-2 Agranoff ch 1
<b>3</b> 1/23	<b>Historical Context of CollabGov, Intergovernmental Relations, Contracting and Third-Party Governance</b> <ul style="list-style-type: none"><li>✓ How CollabGov fits into PA History</li><li>✓ Intergovernmental context</li><li>✓ Salamon's "tools" of public governance</li><li>✓ Types of collaboration</li><li>✓ Public agencies, old and new</li><li>✓ Implications for public management</li><li>✓ Developing and managing grants and contracts</li></ul> <p><i>How have public organizations changed over time? How have these changes impacted the role of the public manager? Do you have experience with some of the alternative forms of public action as listed by Agranoff? Why might these approaches be preferable over direct service provision by a single agency?</i></p>	Agranoff chs 2-4
<b>4</b> 1/30	<b>Public-Private Partnerships</b> <ul style="list-style-type: none"><li>✓ Bryson, Crosby, &amp; Stone cross-sector collaboration framework</li><li>✓ Management in a cross-sector context</li><li>✓ Case Study (in class)</li></ul>	Agranoff ch 5 Bryson, Crosby, & Stone (2006)

## Session

### Date

### Topics

### Required Reading

*Can you use the BCS framework to describe the evolution of a CollabGov Regime (CGR)? What are some specific managerial tasks in a cross-sector partnership? What practices seem to be most important in supporting a cross-sector partnership?*

**5**  
2/6

#### Network Management

- ✓ What we know about public networks
- ✓ Forms of network organization
- ✓ Network management tasks

*What is a local example of a public service network organization? What insight do the readings offer in understanding this network? If you were trying to start a network in your field of practice, what advice would you take from the authors?*

Agranoff ch 6  
Milward & Provan (2006)  
Provan & Lemaire (2012)

**6**  
2/13

#### Collaborative Leadership

- ✓ The role of trust and relationship management
- ✓ The leadership role in collaboration
- ✓ Boundary spanning, objects, experiences, and organizations

*Think of a collaboration you've been involved in. Who played leadership roles in that process and what did it look like? Identify examples of boundary organizations and how they facilitate collaboration. How is leadership as catalyst different than traditional conceptions of leadership?*

Agranoff ch 7  
Crosby (2010)  
Morse (2010)

**7**  
2/20

#### Collaborative Leadership II

- ✓ Keys to collaborative success
- ✓ Attributes of collaborative leaders
- ✓ Role of emotional intelligence

*Identify some exemplary collaborative leaders that you have witnessed. What personal qualities or attributes stand out? How can you develop a collaborative mindset? How can you enhance your emotional intelligence?*

O'Leary et al (2012)  
UNCG Competencies Guide

**8**  
2/27

#### Facilitating Mutual Learning Processes

- ✓ Dialogue and deliberation
- ✓ Engagement "streams"
- ✓ Basics of dialogue and deliberation

*When have you experienced genuine dialogue and/or deliberation? What are the key practices in facilitating mutual learning processes? How are mutual learning processes different than more traditional forms of public participation?*

Feldman & Khademian (2007)  
Web resources linked from Sakai site (review carefully and take notes)

Session

<u>Date</u>	<u>Topics</u>	<u>Required Reading</u>
9 3/6	<p>Institutionalized Collaboration: Structured Neighborhood Programs</p> <ul style="list-style-type: none"><li>✓ Seattle’s neighborhood engagement efforts</li><li>✓ Compare with what City of Raleigh does (guest speaker)</li></ul> <p><i>Why engage neighborhoods the way Seattle has over the years? What is gained from a governance perspective? From a citizen perspective? Have you ever been involved in neighborhood governance? If so, what was your experience like? Why might structured neighborhood programs like Seattle’s be an important institutional innovation to study in terms of collaborative governance at the local level? What are the primary lessons learned here?</i></p>	Sirianni ch 3
<p><b>Spring Break</b></p>		
10 3/20	<p>Institutionalized Collaboration: Youth Civic Engagement</p> <ul style="list-style-type: none"><li>✓ Hampton’s youth engagement efforts</li><li>✓ Town of Chapel Hill’s youth council (guest speaker)</li></ul> <p><i>Why engage youth? What is gained from a local government perspective? From citizen perspective?</i></p>	Sirianni ch 4
11 3/27	<p>Natural Resources Collaboration</p> <ul style="list-style-type: none"><li>✓ EPA’s efforts in the realm of collaborative governance</li><li>✓ “Adaptive management” from natural resources field</li></ul> <p><i>So much innovation in terms of CollabGov has come from the natural resources management field. Why is this the case? To what extent can lessons learned in this realm inform CollabGov in other fields? What are some of the key insights for CollabGov practice that come from EPA and other natural resources agencies?</i></p>	Sirianni ch 5
12 4/3	<p>Future of Public Orgs</p> <ul style="list-style-type: none"><li>✓ What are the hallmarks of the 21<sup>st</sup> Century public organization?</li><li>✓ What is the future of CollabGov?</li><li>✓ How can governmental at all levels better incentive finding the “collaborative advantage?”</li></ul> <p><i>What are your thoughts about where the author’s see the future of CollabGov and government organizations in general? Obama’s Open Government Initiative was largely patterned after Sirianni’s recommendations. How successful has this effort been? Has the federal bureaucracy fundamentally changed or has the OGI been more rhetoric than reality?</i></p>	Agranoff chs 8-9 Sirianni ch 6

**Session**

<b><u>Date</u></b>	<b><u>Topics</u></b>	<b><u>Required Reading</u></b>
<b>13</b> 4/10	Citizen Engagement Workshop Social Media and Open Government Workshop	Thomas Book Report Mergel Book Report
<b>14</b> 4/17	Public-Private Partnerships Workshop Beyond Consensus Workshop	Donahue & Zeckhauser Book Report Margerum Book Report
<b>15</b> 4/24	Praxis of Collaboration Workshop Class Wrap-Up (Final Memos Due) <i>For your final memo, imagine you are the assistant to a long-serving, “old-school” city manager in a large city in North Carolina. He attended a conference where most of the buzz was around “collaborative governance.” He’s asked you to prepare a short, two-page memo that introduces him to the most important things he needs to know about CollabGov. He not only wants to be conversant with colleagues that are all excited about it, but he also wants to talk to his board about it during their next planning retreat. He is convinced there are some important ideas there that his organization needs to embrace. So in a two-page memo, can you convey the core of what collaborative governance is about, along with the key concepts, practices, pitfalls, management tasks, etc.? Be sure to include cites to what you feel are the most important sources.</i>	Innes & Booher Book Report TBA

**Students with Disabilities**

Any student in this course who has a disability that may prevent him or her from fully demonstrating his or her abilities should contact me personally as soon as possible so we can discuss accommodations necessary to ensure full participation and facilitate your educational opportunities.

**Note:** This syllabus is subject to revision as deemed necessary. It is the students’ responsibility to be in class for any announcements relating to assignments, grading, or other aspects of this course or, if absent, to get that information from a colleague.