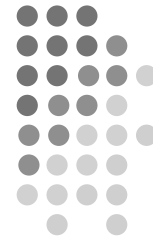


Skills for Effective Collaboration

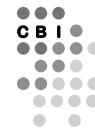
Workshop for
Massachusetts Oceans Partnership

January 29, 2009



1

Agenda



- | | |
|----------------------------|---------------|
| • Introductions | 9:00 – 9:30 |
| • Case Analysis Exercise | 9:30 – 10:15 |
| • Break | 10:15 – 10:30 |
| • Interactive Presentation | 10:30 – 11:00 |
| • Collaboration Exercise | 11:00 – 12:15 |
| • Summary | 12:15 – 12:30 |
| • Lunch and MOP Updates | 12:30 – 1:30 |

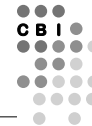
SPECTRUM OF PROCESSES FOR COLLABORATION AND CONSENSUS-BUILDING IN PUBLIC DECISIONS¹

	EXPLORE/INFORM	CONSULT	ADVISE	DECIDE	IMPLEMENT
Outcomes ²	<ul style="list-style-type: none"> Improved understanding of issues, process, etc. Lists of concerns Information needs identified Explore differing perspectives Build relationships 	<ul style="list-style-type: none"> Comments on draft policies Suggestions for approaches Priority concerns/issues Discussion of options Call for action 	<ul style="list-style-type: none"> Consensus or majority recommendations, on options, proposals or actions, often directed to public entities 	<ul style="list-style-type: none"> Consensus-based agreements among agencies and constituent groups on policies, lawsuits or rules 	<ul style="list-style-type: none"> Multi-party agreements to implement collaborative action and strategic plans
Sample Processes	<ul style="list-style-type: none"> Focus Groups Conferences Open houses Dialogues Roundtable Discussions Forums Summits 	<ul style="list-style-type: none"> Public meetings Workshops Charettes Town Hall Meetings (w & w/o deliberative polls) Community Visioning Scoping meetings Public Hearings Dialogues 	<ul style="list-style-type: none"> Advisory Committees Task Forces Citizen Advisory Boards Work Groups Policy Dialogues Visioning Processes 	<ul style="list-style-type: none"> Regulatory Negotiation Negotiated settlement of lawsuits, permits, cleanup plans, etc. Consensus meetings Mediated negotiations 	<ul style="list-style-type: none"> Collaborative Planning processes Partnerships for Action Strategic Planning Committees Implementation Committees
Use When	<ul style="list-style-type: none"> Early in projects when issues are under development When broad public education and support are needed When stakeholders see need to connect, but are wary 	<ul style="list-style-type: none"> Want to test proposals and solicit public and stakeholder ideas Want to explore possibility of joint action before committing to it 	<ul style="list-style-type: none"> Want to develop agreement among various constituencies on recommendations, e.g. to public officials 	<ul style="list-style-type: none"> Want certainty of implementation for a specific public decision Conditions are there for successful negotiation 	<ul style="list-style-type: none"> Want to develop meaningful on-going partnership to solve a problem of mutual concern To implement joint strategic action
Conditions for Success	<ul style="list-style-type: none"> Participants will attend 	<ul style="list-style-type: none"> There are questions or proposals for comment Affected groups and/or the public are willing to participate 	<ul style="list-style-type: none"> Can represent broad spectrum of affected groups Players agree to devote time 	<ul style="list-style-type: none"> Can represent all affected interests and potential "blockers" All agree upfront to implement results, incl. "sponsor" Time, information, incentives and resources are available for negotiation 	<ul style="list-style-type: none"> Participants agree to support the goal for the effort Participants agree to invest time and resources Conditions exist for successful negotiations

¹ Developed by Suzanne Greenstein, Lucy Moore, and Susan Sherry, members of the Ad Hoc Working Group on the Future of Collaboration and Consensus on Public Issues, in consideration of and inspiration from the spectra developed by International Association for Public Involvement (<http://www.iapi.org/association/4748/files/IAPI%20Spectrum%20vertical.pdf>) and the National Coalition for Dialogue and Deliberation (<http://www.thatsaway.org/exchange/files/docs/dsd%20exam1-08.pdf>).

² While all types of processes have intrinsic value on their own, those on the right side of the spectrum tend to include early phases akin to those on the left side and those on the left side often support participants in moving to next steps akin to those on the right side.

Challenges in Public Decision Making



Incompatible interests

- who gets what (allocation of resources)
- how the process works (who is involved, how, when)
- what trade-offs will be made (economy vs. environment; disbursement vs. accountability)

Clash of values and identities

- how the world "is" or "ought to be"
- who has moral or legal right to do something
- who should bear the costs or risks of public action
- who is respected, and who is not

Disagreement over "facts"

- what information is relevant
- what is valid (sources, methods)
- what is certain
- how is it interpreted

Challenges in Decision Making (2)



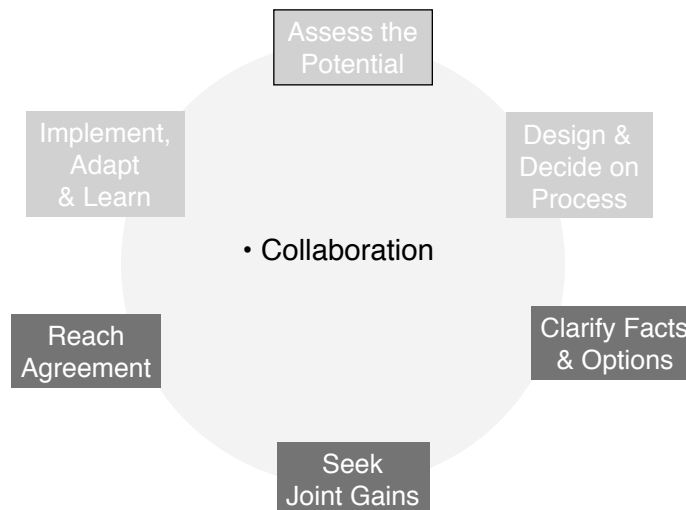
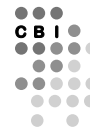
Negative relationships

- historic tension
- lack of trust, misperceptions among groups
- communication difficulties

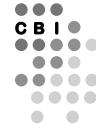
Process factors

- unequal representation
- unequal control of power, authority and resources
- competing organizational missions, mandates, procedures
- time frames not matched to pace of demographic, economic and political change

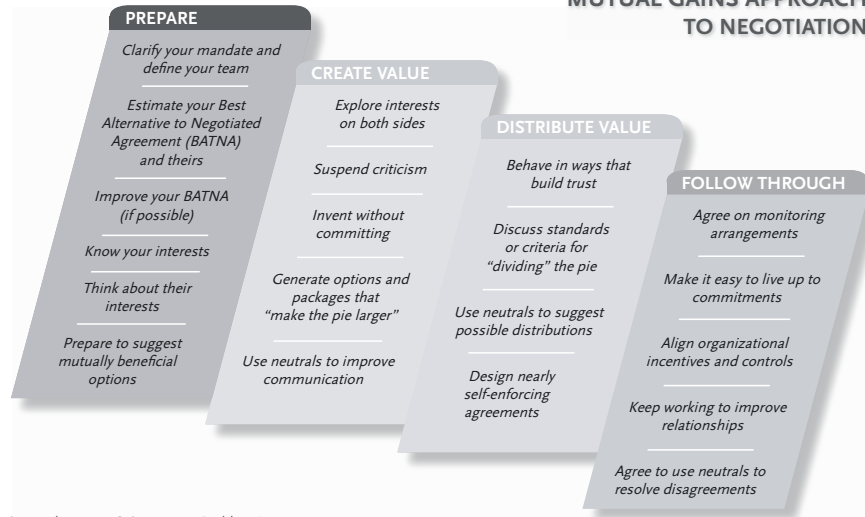
Consensus Building Process



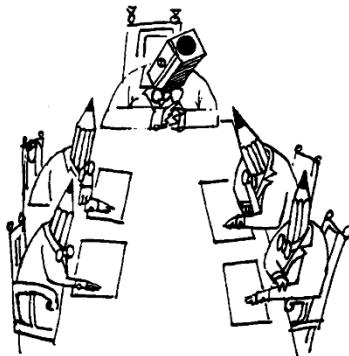
The Mutual Gains Approach



MUTUAL GAINS APPROACH TO NEGOTIATION



Seeking Mutual Gains Through Negotiation



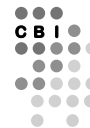
- #1. Prepare**
- #2. Create Value**
- #3. Distribute Value**
- #4. Follow Through**

1. Preparing Effectively



- **Parties and Authority**
 - What's my mandate/authority in these negotiations?
 - Who else needs to be involved from my side?
 - Am I negotiating with the right parties?
 - Who might be missing who can derail things later?
 - What's their ability to internally organize, ratify, secure decisions?
- **Information**
 - What information do we need to consider choices and make decisions?
 - Is it readily available? Must we generate it?
 - How do we ensure credibility, legitimacy, and relevance?

Preparing Effectively



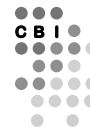
- **Interests vs. Positions**
 - What are my underlying interests?
 - What are their underlying interests?
 - What are common, differing, and conflicting interests?
 - What are value differences and how might they influence our ability to negotiate?
- **BATNA**
 - What will I do if negotiations fail?
 - What will they do?
 - Can I improve my best alternative?
 - Who at this time has better BATNAs?
 - How might BATNAs change during the course of our negotiations?

Preparing Effectively



- **Options**
 - What options might I suggest that would meet my interests?
 - That would meet my interests?
 - Is the problem primarily allocative/distributive? To what degree can we make it integrative?

What it sounds like to explore interests:



- “What are the key things you need from an agreement?”
- “Why is that important to you?”
 - Listen for interests, principles and assumptions
- “What else is important to you?”
- “Would you prefer [X] or [Y]?”
- “Could you live equally with [option X] and [option Y]?”
- “You’ve mentioned [X] and [Y] and [Z] as things that matter to you... among these, which is most important?”
- “Would we be moving in the right direction if...?”

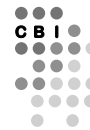
Key Points



- A. Clarity in communication
- B. Communicate is more than Talk
- C. Ask, don't assume
- D. Build and maintain trust
- E. Be aware of mental models

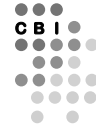
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Exercise: Drawing



- Please draw the image described by the leader
- First 3 to 4 minutes:
 - Only the leader can talk.
- Next
 - Ask questions

Clarity in Communication



- Provide the big picture first
- Go fast by going slow
- Use different images
- Consider different learning styles
- Provoke feedback
- Look for disconfirmation
- Create a common language
- Foster group responsibility

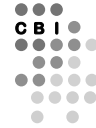
Communication is . . .



“You communicate not what you say, but what people hear.”

*Lynn Scarlett
Undersecretary, U.S. Department of Interior*

Components of Communication



- Listening
 - Not speaking, asking questions, paraphrasing
 - (Initial) suspension of disbelief
- Conveying
 - Being clear, concise, constructive
 - Not provocative, rhetorical, insulting
 - Not holding back real concerns, or playing them outside the room
- Attending to the situation
 - Agenda, participation, time, emotion

Components and Means



Activity	Conveying	Listening	Attending
In-Person	X	X	X
Phone	X	X	
Email	X		

Exercise: Bird's Eye View



- Write down a description of what you might see from a “birds-eye” view

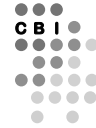
Fundamental Attribution Error



- Fundamental Attribution Error: When we are explaining the behavior of others, we take insufficient account of situational factors.

(Attribution is how we explain the behavior of others to ourselves.)

What do you mean?



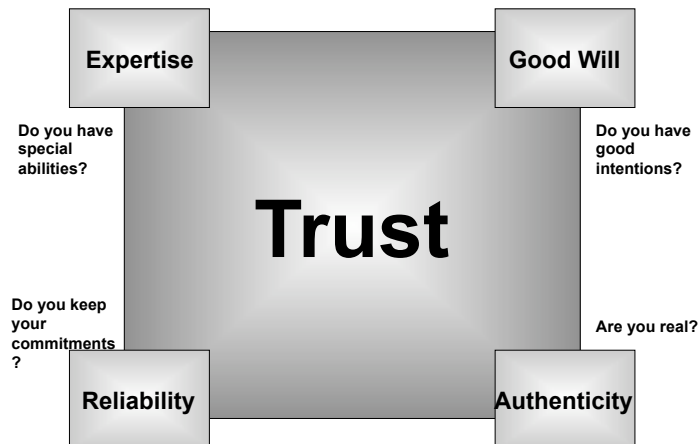
Always? ____ %

Sometimes? ____ %

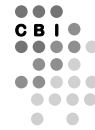
Frequently? ____ %

Occasionally? ____ %

Trust

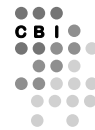


Building Trust



- Share information
- “Mean What You Say and Say What You Mean”
- Share of yourself
- Follow through on promises and commitments
- Be clear and consistent
- Behave as you want them to behave
- People rarely think of themselves as untrustworthy

The Leap of Faith



“The chief lesson I have learned in a long life is that the only way you can make a man trustworthy is to trust him.”

Henry L. Stimson
Secretary of War, 1940 to 1945

Mental Models...



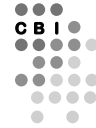
- are the images, assumptions, and stories which we carry in our minds of ourselves, other people, institutions, and every aspect of the world.
- are like a pane of glass – subtly distorting our vision.
- explain why two people can observe the same event and describe it differently; they are paying attention to different details (they have different mental models).

Mental Models Impede Learning



- The problem with mental models lie not in whether they are right or wrong. All models are simplifications. (and flawed in some way).
- The problem with mental models arise when the models exist below our level of awareness.
- Mental models are *active* – they shape how we act. In part, because they affect what we see.

Ladder of inference



Belief / Conclusion

- Jan doesn't like Nate.
- Jan only cares about herself looking good.

Assumptions

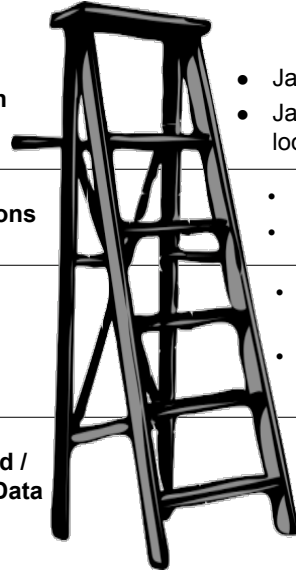
- Jan was late on purpose.
- Jan is Jealous.

Added Meaning

- This presentation had been planned for weeks.
- Jan knew when the presentation started.

Observed / Selected Data

- Jan came in late.
- Jan did not apologize.
- Jan caused a disruption.
- Nate lost the audiences attention.



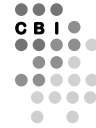
Linking Vision, Values, and Mental Models

2. Create Value



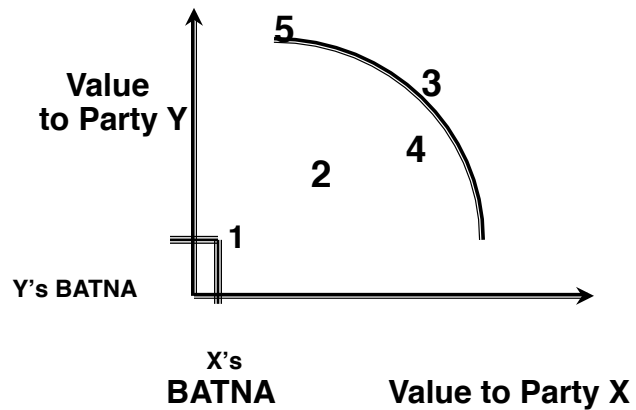
- **Improve Communication**
 - Set groundrules
 - Organize information flow
 - Use formal and informal mechanisms
 - If needed, use neutrals to improve communication
- **Explore**
 - Explore interests on both sides. Ask 'Why...?'
 - Understand priorities and differences
- **Develop Information**
 - What information is key to our decisionmaking?
 - What do we have? What don't we?
 - What can we generate in the time we have?
 - Can we be clear about the scientific, the technical, technical judgment, and policy and value judgments?
 - Does our information meet the test of credible, legitimate, and salient?

2. Create Value



- **Invent**
 - Suspend criticism
 - Invent without committing
 - Break large groups into small groups; try different combinations of individuals
 - Play “What if...?”
 - Encourage creativity
- **Package and Trade**
 - Prioritize issues, options, concerns
 - Find and exploit differences - Trade across priorities
 - Make packages that give you more of what’s most important to you.

Inventing Options

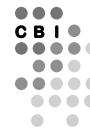


Keys to Creating Value



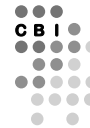
- Explore Interests
- Create joint information and knowledge
- Set High Aspirations
- Exploit Differences
 - Different resources
 - Different valuations
 - Different forecasts
 - Risk preferences
- Unbundle Issues - “Fractionate”
- Link Issues
- Create Packages

3. Claiming Value



- **Build Trust**
 - Behave in ways that build trust, enhance credibility
 - Encourage risk taking toward collaboration
- **Objective Criteria or Principles**
 - Develop overarching principles or concepts
 - Discuss standards or criteria for dividing the pie
- **Contingent Agreements**
 - Don't Argue about the future: Bet on it.
 - Mitigate Risk
- **Neutrals**
 - Use neutrals to discuss possible criteria and distributions

Criteria

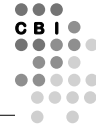


- **Fairness is Relative**
 - How did you arrive at that?
 - What is the theory behind this?
 - What makes that fair?
 - How are others (people, organizations) handling this problem?
- **Develop & agree on criteria for evaluating options**
 - Shared Ideals
 - Precedent
 - Efficiency
 - Reciprocity
 - Equal treatment
 - Prior commitment

Manage Uncertainty



- **Use Contingent Commitments**
 - If perceptions of the future are different, don't argue about uncertainties
 - Use if-then formulations to account for multiple potential outcomes
 - Allow the time needed to implement change well
 - Develop monitoring arrangements and clear assessment strategies
 - Set follow-up plan: come back together to assess results



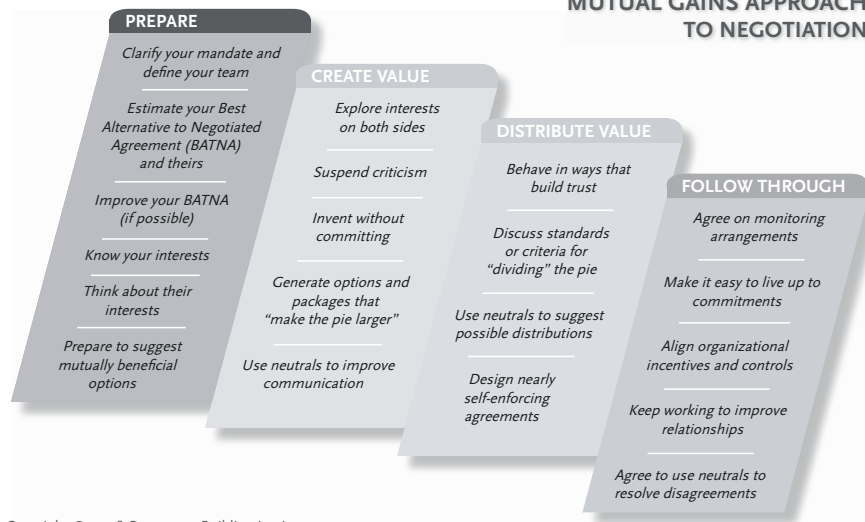
4. Follow Through

- **Make Compliance Attractive**
 - Develop incentives and 'nearly self-enforcing agreements'
- **Monitor**
 - Agree on monitoring arrangements
 - Involve relevant parties; Allocate necessary resources
- **Anticipate**
 - Identify and address "predictable surprises"
 - Align organizational incentives and controls
- **Communicate**
 - Keep working to improve relationships
 - Agree to use neutrals to resolve disagreements



The Mutual Gains Approach

MUTUAL GAINS APPROACH TO NEGOTIATION



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