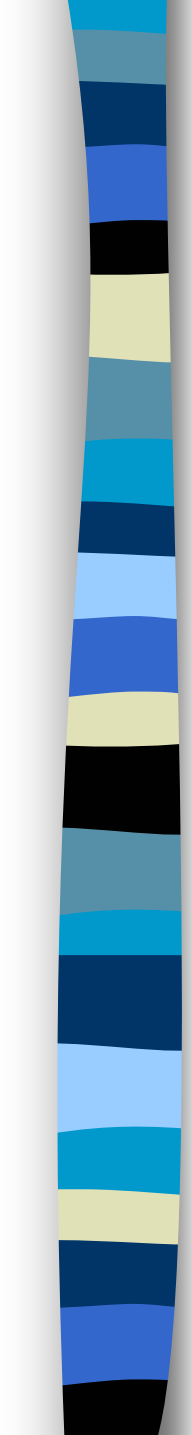
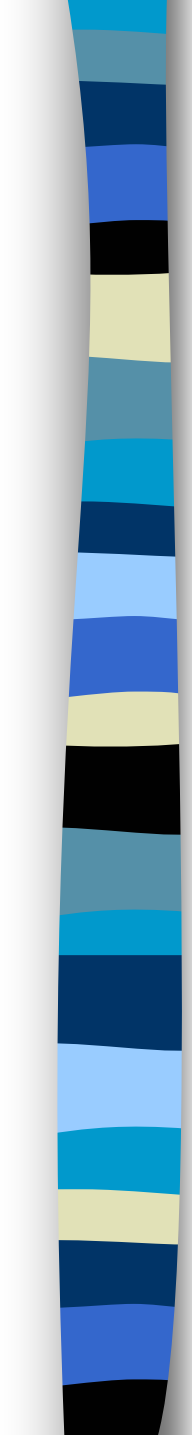




# Collaboration and Adaptive Management

- Important Assumptions and Context
  - Need to understand the difference between positions and interests
    - Position: the end point you want (e.g., “don’t build the road”)
    - Interest: needs and concerns that stand behind the position (e.g., noise, traffic and access)
    - Positions don’t give you much to work with, Interests provide information that can be analyzed and arrayed and can serve as the “building blocks” for agreements
  - It is very difficult to successfully develop a policy or management action if one does not understand the interests that are going to be affected.

- 
- When interests intersect/interact (or clash) we call that conflict – that fundamental expression of the differences between interests is not bad – in fact, it is the essence of our democracy
  - What can be negative is when those interests clash in way that is not productive – most often in a manner designed to fit the traditional paradigm – stake out an extreme position and let the decision maker figure it out

- 
- What do we mean by collaboration?
    - Collaboration fundamentally changes that paradigm – it invests the parties at interest with a direct role (or stake!) in the outcome rather than ceding that responsibility solely to others (does not mean that formal decision makers do not have a role) – they have a critical role, but collaboration provides them with an opportunity to reconceive that role – they can enlist others directly in the process and still maintain the ultimate decision making authority
    - There is no way that any decision maker (or even a team of “experts”) can grapple fully with the complexity and uncertainties inherent in these decisions



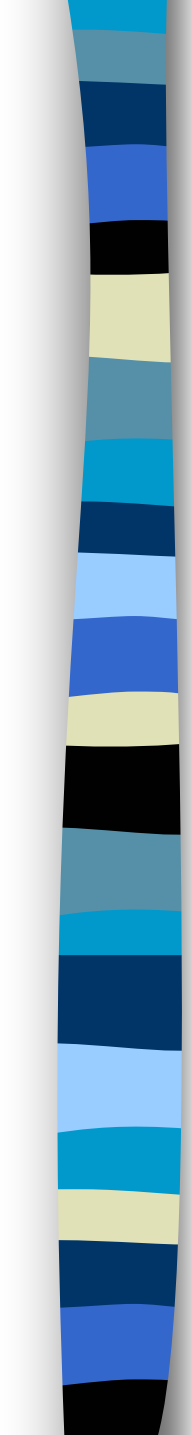
## In a Collaborative Process:

- People work together to address issues that they care about
- An effective stakeholder working group can bring to bear on the problem a range of perspectives and experiences that both will inform the problem identification and analysis and lay the groundwork for effective implementation – both politically and substantively
- It also can provide informed and effective linkages to key institutions



# How does a Collaborative Process Compare to the Traditional Process?

- The process can be designed to **fit the needs of the situation** at hand (traditional is often regimented and constrained)
- Can track the process all the way through – **do not be too quick to define boundaries or limitation** for ways in which stakeholder collaboration can assist and support effective adaptive management
- The **stakeholders participate directly**, rather than through surrogates, as is often the case with the traditional processes
- Flexible as to the interplay with science and data – can design to **facilitate the interplay between science, policy and management** (always difficult to truly integrate across these lines, but collaboration can present creative opportunities)
- **Time** expenditures are allocated differently in the traditional and collaborative approaches

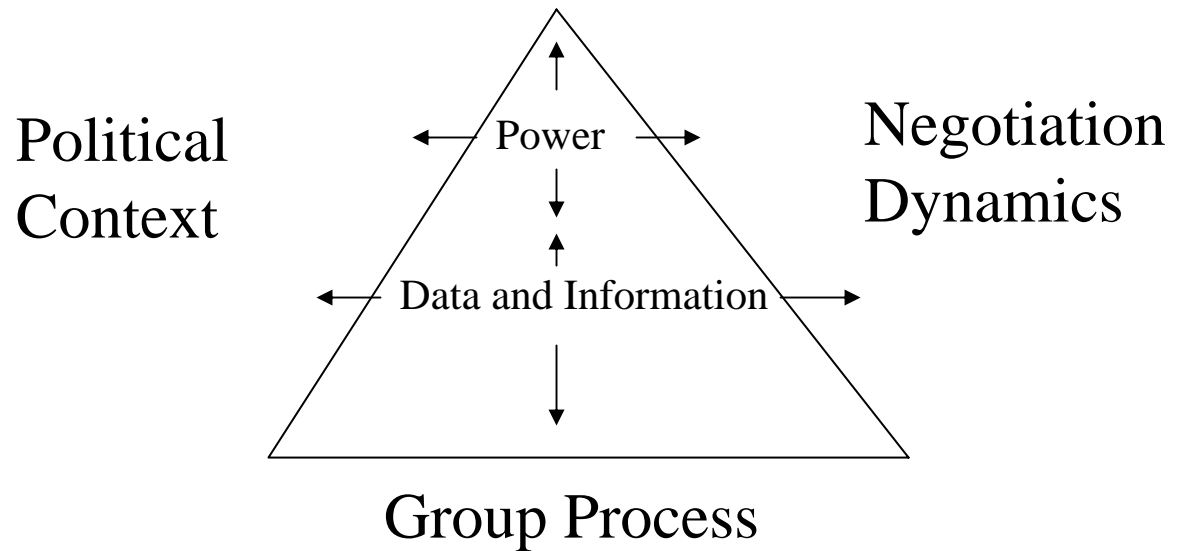
- 
- Collaboration provides the “lubrication” that is necessary if adaptive management is to work
    - Between the scientific/technical, social, economic and political dimensions
    - A process which supports the articulation of the respective interests is vital
    - If you have those interests represented directly it eliminates (or at least limits) the amount of guessing that needs to take place – it gives you a leg up on understanding the complexity and uncertainties which are inherent in this realm



## ■ How does it work?

- Gain an understanding of interests
- Provide an opportunity for all stakeholders to gain an understanding of those respective interests
- Develop a conceptual map or framework of the problem that takes into account those diverse interests, but that everyone can understand and work with
- Work together to develop options/proposals that can satisfy multiple interests

# Model of Key Dimensions of Collaboration







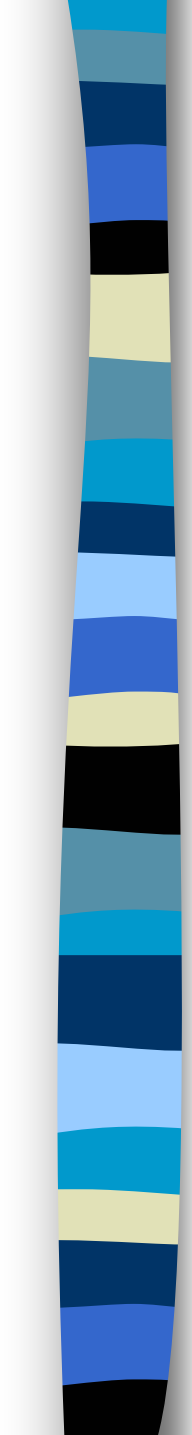
# Building Blocks – Key Design Considerations

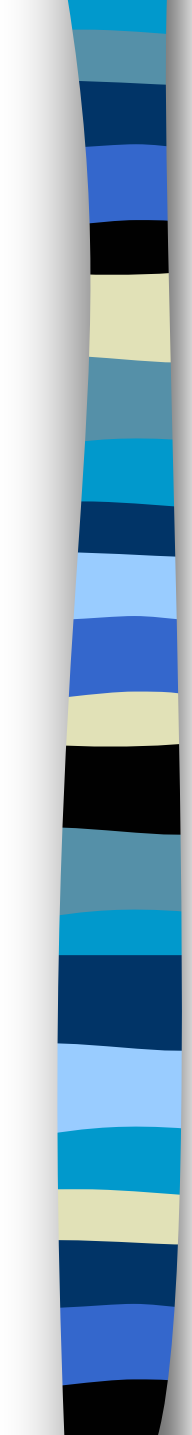
- **Issue** – can you bound the problem?
- **Involvement** – who needs to be “at the table” – don’t exclude interests prematurely?
- **Interests** – gain an understanding of what is important to people – what do they care about?
- **Incentives** – what will motivate people to do the hard work?
- **Information** – what information is needed for decision making?
- **Implementation** – how to make sure it all makes a difference in the end

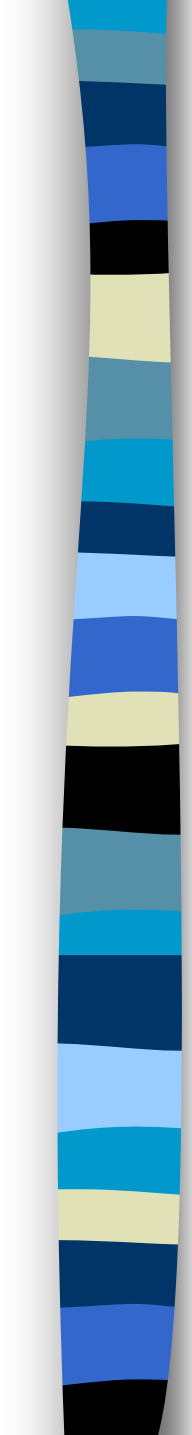


# Principles of Collaboration

1. The issue/conflict being addressed should have definable boundaries.
2. Participation should be inclusive of those interests that have a stake in the issue. In addition, representation should be based on the nature of interests, not on the numbers of people possessing a particular interest. The nature of participation can vary between parties.

- 
3. The participants should be involved in the design of the process.
  4. The process should involve the formulation of a common conceptual framework for understanding the issues and interests involved.
  5. There should be set of clear, agreed upon ground rules to guide the process. These should address a range of issues including participation, decision-making process, timelines, resources, and use of a third party.

- 
6. The process should be open and transparent to all parties and to outside interests to the greatest extent possible.
  7. The process should be designed to elicit a clear understanding of the parties' interests.
  8. A path to the potential implementation of results should be considered from the outset of the process.

- 
9. There should be adequate time and resources to support the process.
  10. An explicit process should be established to bring accurate and trusted information, data and professional expertise into the process.
  11. The process should support and facilitate cooperative learning by all participants.
  12. The process should include an agreed upon strategy for communication within the group and with the broader public/constituents.
  13. The role of third party should be considered and if one is to be used, the selection and retention process should be clear and well understood by all parties.



# Phases of a Collaborative Process

## ■ Assessment and Planning

- What are we trying to accomplish?
- Who are the parties? – what are their interests?
- Budget – participant support, technical support, third party,
- Key Milestones – including implementation

## ■ Convening

- Who should convene?
- Deciding who should be at the table
- Advance research/analysis



- Dialogue/Negotiation

- Format/design (e.g. work groups – how structured?)
- Use of third party
- Information and data – how to assemble?

- Agreement and Implementation

- What are people agreeing to do?
- Who else needs to be prepared?
- Monitoring and Evaluation



# Applications of Collaboration

## ■ Information Exchange

- Gain an understanding of respective interests
- Inclusive, open (you communicate your attitude about problem solving through the way you engage them)

## ■ Option Generation

- Take on board the perspectives and experience of the stakeholders

## ■ Consensus Recommendations

- Must take the term consensus seriously

## ■ Implementation and Monitoring

- Lots of room for creative approaches





## Defining Consensus

- Can people “live with” the outcome?
  - Does not require that everyone support every aspect with equal enthusiasm
  - When taken as a whole and taking into consideration all three dimensions (negotiation, group process and political context)



# Incentives for Participation in Collaboration

- Legislative or regulatory mandate or direction
- BATNA (best alternative to a negotiated agreement)
- Leadership from influential (powerful) people, preferably bi-partisan
- Reward in the form of dollars, information, access
- Potential exclusion (or marginalization) from the decision making process
- Desire to try something different and get away from the traditional processes