



the Collaboration Framework

–interactive training package–

bringing individuals, organizations and communities together in an atmosphere of support and respect to solve emerging problems too big for one group alone

the Collaboration Framework Interactive Training Package was developed in 1996 by the National Network for Collaboration. Written, compiled and designed by Bob Pickel in collaboration with Teresa Hogue, Oregon State University Extension Service; Arno Bergstrom, Washington State University Extension Service; Jeff Miller, University of Illinois Extension Service; and Juanita Russell, Purdue University Extension Service. All portions of this package may be used and copied provided proper credit is given and the National Network for Collaboration contacted:

Attention: Jeff Miller, for
the National Network for Collaboration
Assistant Director and State Leader,
4-H Youth Development,
North Dakota State University,
219 FLC, Box 5016,
Fargo, ND 58105-5016.
701-231-7259.
Fax: 701-231-8568.
nnco@mes.umn.edu

Contents:

	page
Preface.....	v
Introduction	vii
Unit 1 Understanding Collaborations.....	1
• what collaboration means • how collaborations fit in changing community conditions • planning for change • how change comes about • beliefs about change • using the framework for collabora- tive efforts • understanding collaborative goals •	
Guide to Materials	17
Unit 2 Initiating & Advancing Collaborations	31
• catalysts that initiate collaborative efforts • problem solving behavior • shifting our thinking • the importance of grounding • great teams & common purpose • building a core foundation • defining a common vision •	
Guide to Materials	49

Unit 3	Focusing on Outcomes	63
	• shared vision & outcomes • outcomes & ac- countability • identifying outcomes • developing outcome indicators • performing a force field analysis on outcome measures • understanding & identifying impact measures •	
	Guide to Materials	79
Unit 4	Defining & Building Relationships	89
	• defining relationships • self-fulfilling prophecies • the 6 process factors • community linkages • how things appear • the 6 contextual factors • organization of information • analysis of process & contextual factors •	
	Guide to Materials	111
Unit 5	Insuring Successful Collaborations.....	127
	• taking measure along the way • systems thinking • understanding collaborative systems • evaluating your efforts • hunting for root causes • checklist for working together •	
	Guide to Materials	141
	Common Language.....	153
	Resource Grid	155

Preface:

- A highly functioning collaboration, at all times, continues to focus upon what condition(s) it seeks to achieve and how it goes about achieving those conditions. Different aspects of this will come to light at various places throughout this package.
- This package is for experienced facilitators interested in community-based, collaborative efforts, who want to build long-term, positive, community capacity. We hope anyone interested in collaboration and the Collaboration Framework will find it informative. It is meant to help guide a participative learning experience for all involved.
- This training package is a hands-on supplement to the Collaboration Framework. The Collaboration Framework is a monograph detailing a specific collaborative process. Eleven Land Grant Universities and the Cooperative States Research Education and Extension Service were involved in its development by the National Network for Collaboration. It is based upon a wide body of research, knowledge, and hands-on expertise sustaining collaborations within communities. A copy is available for your use with this training package.
- Adapt this package to your own style of training—it is intended as a template for your use. Tools and techniques with which you are familiar as well as timely, local examples of collaborative efforts should be incorporated into this training for your audience's maximum benefit.

Introduction:

the interactive training package

- This package is part of a dynamic movement away from competitive interaction toward an appreciation of how we might best work together collaboratively. It's evolving, just as the world around us is evolving. We would like to hear about what works and what doesn't work as you use it in the field. It's our hope to interact with individuals and organizations interested in collaboration so we can all learn and develop models, tools and techniques that best meet our diverse needs.
- The training package is an adjunct to the Collaboration Framework. Using the principles and ideas set forth in the Framework, together with a number of other pertinent resources, it is written as a guide for facilitators to help collaborative, community-based efforts move forward. It may be used to help people interested in learning about collaboration (specifically the process detailed in the Collaboration Framework) and/or to help develop, sustain, or evaluate existing collaborations.
- Five core UNITS form the basis for this package:
 - 1 Understanding Collaborations
 - 2 Initiating and Advancing Collaborations
 - 3 Focusing on Outcomes
 - 4 Defining and Building Relationships
 - 5 Insuring Successful Collaborations
- Each unit is independent but the content presented builds in terms of complexity and the process of collaboration.

While this package has been organized around the idea of building blocks, developing and sustaining successful collaborations is not nearly as simple as following this package step by step. Facilitators are free to pick and choose the order in which to present units. This allows flexibility for specific training needs.

- Each unit has two sections. The first, Focus, offers exercises, activities and information for group facilitation. The second, Guide, includes relevant graphic resource materials such as rating sheets, questionnaires, cartoons, etc., which may be used as handouts or developed as visual overheads. Materials included in the Guide portion of each unit conjunct with specific areas in that unit's Focus section. An icon representing each graphic is found next to the text to which it corresponds. Facilitators are encouraged to prepare overheads and handouts from these materials.

you & your audience

- This package is not designed to be a guide for the process of facilitation. Our training focus is the development of collaborations. Therefore, we recommend that experienced facilitators use this training package. The art of facilitating a positive group process involves reading the audience, developing a rapport, and having a number of techniques to call upon for different situations. This package does *not* cover all the bases for facilitating groups of people, and you'll undoubtedly need more information than is included in these pages. This package is only meant to act as a guide.
- It is helpful if participants have experience developing and sustaining community collaborations—especially for Units

two through five. The first unit is more general and might be used for a group of people interested in learning about collaborations. All units have been developed to be used with a diverse group of people representing a wide range of community-based interests.

- Before you start, learn as much as you can about the history of connectedness within the community, and if they have focused on outcomes or activities. As a facilitator you may have a group that believes they are already established collaboratively and operating at an optimum level. You may need to start with Unit 4 and segue back to other units in order to hold their interest.
- In addition to being an experienced facilitator, you should have real life practice and experience with collaborative efforts in order to give the participants in your training valuable insights and confidence.

the time involved for successful collaborations

- Collaborations are time-intensive, demanding projects. This is not an easy road on which to embark. Just because the term "collaboration" is currently being used, doesn't mean that it is the right course for every group. It is important to remember that successful efforts may take years, sometimes decades. As a facilitator you will want to think carefully about getting involved in a project for collaboration which doesn't have long-term participant commitment.
- The time spent on each unit in this training package will depend upon a number of criteria, including the

participant's level of expertise, as well as the kind of exercises and activities that are needed.

- Training times for each Unit may vary widely. Allowances must be made for your audience. To present this information to legislators or busy administrators you will have to hone this material to 45 minutes or less if you want them to attend. Trainings for traditional "educator" groups may need four hours or more.

preparation for a positive training

- Interview participants prior to your training to better understand their level of knowledge and training needs.
- Review the material and decide which points and exercises to incorporate in the training.
- Develop personal anecdotes, and examples of collaborative efforts with which the participants can identify. Real-life, close-to-home examples motivate participants and help to propel them forward.
- Select the handouts you intend to use and make enough copies. Develop overhead transparencies if needed.
- Don't assume facility scheduling, equipment, refreshments and room arrangements will automatically be done.
- Develop a welcoming and closing for your session. This package does not include warm-up activities or tips for setting the context for your sessions, nor does it have activities that bring closure to the topics or that articulate next steps. Develop openings and closings as you see fit.

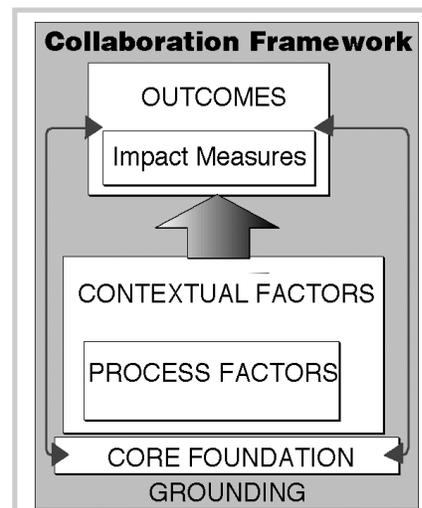
- Work with your group to develop ground rules creating a safe environment so people can express real thoughts, opinions and concerns.
- Be positive and enthusiastic. Remember—one of the most important aspects to successful collaborations and trainings is having fun.
- Build confidence in the participants that collaborations really do work!

1

understanding
collaborations

unit 1 focus

an overview of all 5 elements in the Collaboration Framework: grounding, core foundation, process factors, contextual factors, and outcomes



- What Collaboration Means.
- How Collaborations Fit Within Changing Community Conditions.
- Planning For Change.
- How Change Comes About.
- Beliefs About Change.
- Using The Framework for Collaborative Efforts.
- Understanding Collaborative Goals.

Time: 45 minutes to 4 hours depending upon the number of people, the level of current knowledge, and the manner of facilitation.

Audience: 10-50 interested people.

Equipment: Overhead projector, paper, pencils, flip chart, felt pens, tape, push pins, sticky dots.

Unit 1

understanding collaborations

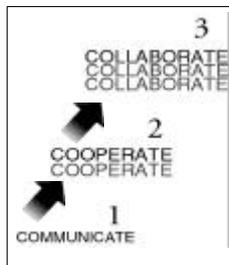
what collaboration means:

the
Collaboration
Framework

bringing individuals,
organizations and
communities together in
an atmosphere of support
and respect to solve
emerging problems too big
for one group alone.

- **OUTCOMES:** To assist the group in understanding collaboration, how it fits within a continuum of communication, and the time involved in successful efforts.
- **DISCUSS:** Coming together. Sometimes it takes a crisis to bring us together. Our response to the crisis often begins or strengthens collaborative community efforts – efforts to work together, to solve common problems. In this way, collaborations are constructive responses to creating caring communities. The goal of community collaborations is to bring individuals, organizations and communities together in an atmosphere of support and respect to solve emerging problems too big for one group alone.

What experiences have you (participants) had in the past coming together to solve community problems?



- **DISCUSS:** A continuum of communication - cooperation - collaboration. As people learn to relate with each other, begin to trust one another, and spend time together, they begin to communicate in more meaningful ways. Through this process they may move from a cursory discussion of the weather to talking about their fears and desires, their personal or professional needs and wants. Moving through deeper levels of communication we begin to see a larger continuum consisting of communication and cooperation, and leading to collaboration. An example of this might be knowing someone else needs a ride to the supermarket, we can choose to

share our taxi with that person and act cooperatively. Taking this example further along the continuum towards collaboration and knowing that neither of us have enough money to pay for the taxi ourselves, working with the other person to share our resources and pay half of the taxi's fare (or perhaps figuring out a better way for both of us to accomplish getting to the supermarket without having to pay the high cost of taxicabs).

What worked well in your partnerships, coalitions, or collaborative efforts? What were the challenges?

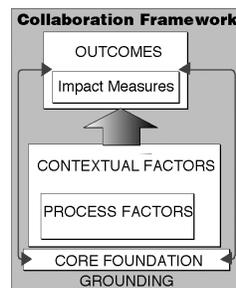
- **ACTIVITY:** Divide into small groups (or not). Ask participants to share their experiences in response to the above discussion points.
- **EXAMPLE:** In the case scenario, three people began communicating over coffee about issues that disturbed them. Their behavior changed from communication to cooperation around the time they could say a group had formed to study the issue. By the time 11 agencies delineated portions of their budgets for teen pregnancy programming, they had effectively collaborated.

This is an actual case study of collaboration in which names have been changed.

THE COMMUNITY: Larkin County has a population of approximately 20,000 people. Principle industries are agriculture, forest products and tourism. There is a range of socioeconomic levels.

THE LEADERSHIP: Community leaders—the County Commissioners, school superintendent, key businesspeople—hold much of the decision-making power within the county.

THE PROBLEMS: They were not alarmed when two problem indicators developed: (1) 51% of the high school students had dropped out (1/2 of the dropouts were girls), and (2) Larkin County had the highest rate of teen pregnancy in the State, and



- **DISCUSS:** Time and the Framework. The time involved in successful collaborations and the role of the Framework in helping collaborative efforts. Successful collaborations may take years, perhaps decades. Time is a critical element needed to build the relationships necessary for all partners to come to a shared vision. Further time is also essential in defining tasks, developing roles and responsibilities,

Unit 1

understanding

collaborations

clarifying work plans, evaluating outcomes, and establishing patterns of communication that are positive and respectful. The Framework helps guide collaborative efforts, because it offers a pathway for groups to focus their efforts. It also provides a purpose for interested collaborators to move toward a foundation on which community collaborations can build and experiment.

- **EXAMPLE:** It took three people, in our case scenario, two years to cooperate and another two years to finally collaborate. Collaborations take a tremendous amount of time and energy.

how collaborations fit within changing community conditions:

- **OUTCOMES:** To assist the group in identifying current community conditions that enhance or inhibit collaborative efforts.
- **DISCUSS:** Changing community conditions. Collaborative efforts are part of new, emerging community conditions. Ideas and values are beginning to shift in communities, sometimes faster in certain areas, sometimes slower. We are seeing conditions move from competition to collaboration, from reaction to prevention, from outside experts to local citizens, from activity driven to vision driven and from controlled decisions to shared decisions. You can see this trend as Congress discusses block grants



and thinks about shifting resources from a central federal authority to states and on to local communities.

- **EXAMPLE:** Twenty to thirty years ago Larkin County had a number of mills working at full capacity, with high paying jobs that didn't require a high school diploma. It was commonplace within the community for kids to drop out of school, marry young, and have their own children at early age because there were local jobs to support them. As times and economic factors changed, perceptions and behaviors didn't – mills closed and family wage jobs became scarce. Yet, young people were still dropping out of school and getting pregnant.
- **ACTIVITY:** Participants rate their communities, and discuss their responses. The purpose of this exercise is to help participants get to know their community better, and for them to start thinking realistically about how things currently operate in their community.

(1) Have participants individually fill out the handout and pass it in. Before the next session transcribe the responses and present them back to the group, or (2) Divide participants into small groups and have them individually fill out the handout, discuss among themselves and then report back to the group, or (3) Make a large flip chart poster for the wall which accommodates everyone's response in order to visualize the group overview. Participants may put sticky dots or X's on the chart anonymously, or (4) Develop overheads for indi-

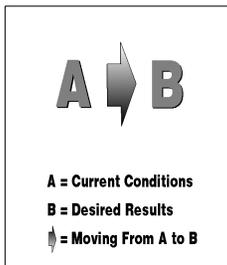
Unit 1

understanding

collaborations

vidual responses which can be overlaid upon one another to form the group's response.

planning for change: (As developed in "Discovering the Meaning of Prevention", by William A. Lofquist.)



B:
<small>What Is the Future condition You Plan to Accomplish?</small>
C:
<small>What Are The Strategies To Move From A to B?</small>
<small>Facilitating Factors...</small>
<small>Resisting Factors...</small>
A:
<small>What Are The Strategies To Move From A to B?</small>

- **OUTCOMES:** To have participants better understand how to plan for change in a community.
- **DISCUSS:** The idea of change as exemplified by the A-B-C model – (A) Current Conditions, (B) Future Conditions, and (C) Figuring Out How to Get From (A) to (B). Planned change leads to a new condition without the problems or issues of the current condition. There are three basic questions to ask. These need to be discussed at the beginning of the effort to assure successful results: (1 - Condition A): "Where are you now?", (2 - Condition B): "Where do you want to be?", and (3 - Moving from A to B): "How will you get there?" The description of A must be clear so people will understand what is to be changed. Likewise, the description of B must be specific so people will know their goal(s), outcome, or what they are to accomplish.
- **EXAMPLE:** In the case scenario are three phases of change, with the second coming two years after the first, and the third change occurring in the fifth year. Each phase can be broken down using the A-B-C Model.

In the first phase A is a widely accepted community norm that girls would have babies before age 17

(research revealed 80% of those girls with children were 2nd generation teen moms). B is to create an understanding and awareness of the impact and responsibility of parenting at an early age (not only to the individual, but to the community - young men and women were having babies and interrupting their educations). C targets natural community touch points to raise the issue.

In the second phase, in A community agencies and organizations are concerned how to address teen pregnancy, but there is no pattern, history or tradition within existing systems. B equals a change in people's attitudes and behaviors regarding teen pregnancy. And C is a community action plan workshop, formalizing the cooperation and providing a range of services to impact the issue.

In the third phase, A assure specific programs and services are in place to support teen moms and dads, and prevention education is provided through traditional schools and related organizations. B is to assure young people will make conscious decisions to postpone parenting until they are self-sufficient, productive, and contributing members of the community. C is parenting education, establishing group norms and behaviors in an open manner, and a range of organizations and individuals defining positive expectations for their young people throughout the community.

Unit 1

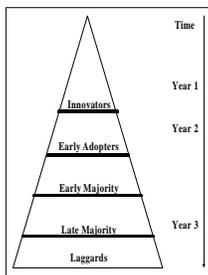
understanding collaborations

how change comes about: (from the "Community Leader's Guide")

1. Awareness
2. Interest
3. Evaluation
4. Trial
5. Acceptance

- **OUTCOMES:** To impart an awareness of the five stages in which people adopt new ideas, and the five classifications for how rapidly people move through the process of change.
- **DISCUSS:** Change comes about as a result of individuals and groups communicating their ideas to others and coming to agreement that the change is indeed needed.

Research by social scientists suggests that new ideas are diffused and adopted through a somewhat orderly process of five stages. (1) Awareness, or when people first hear of the new idea. (2) Interest, the earliest step in accepting the new idea. This happens when someone starts to think about what they heard or read and ask themselves, "how will it affect me?" (3) Evaluation, when a person considers accepting the idea and perhaps thinks of alternative actions. (4) Trial, when the individual or group researches how others have dealt with the problem before and begins involving others. (5) Acceptance, when the new idea is accepted and new behavior occurs.



Not everyone moves through the process of change at the same rate. Research has also shown there are five different classifications for how rapidly persons move through the change process: Innovators, Early Adopters, Early Majority, Late Majority and Laggards.

An INNOVATOR (2.5% of the population & venturesome) is the first individual to accept a new idea, and the highest risk taker of the five groups. Generally, this person(s) takes too great a risk to be locally accepted. They are generally highly educated, may be younger than the rest of the group, and usually participate more widely in organized groups.

EARLY ADOPTER (13.5% of the population & respected) also are generally younger people or newer groups with more formal education than the remaining three groups. They tend to "reason out" which alternative new idea is best. Even at this stage, the risk may be too great for early adopters to be locally accepted. This group often has democratic leadership, and is active in community affairs.

The EARLY MAJORITY (34% of the population & deliberate) consists of individuals who follow the early adopters, and often looked to as the real leaders. Education and the socioeconomic level tends to be somewhat less, and the average age is somewhat older. They rarely participate at state or national levels.

LATE MAJORITY (34% of the population & skeptical) individuals wait until almost all the risk is eliminated before trying a new idea. There is less participation for this group in community affairs and therefore their exposure to new ideas is less. This is the largest grouping in terms of numbers except for the laggards.

LAGGARDS (16% of the population & traditional)

Unit 1

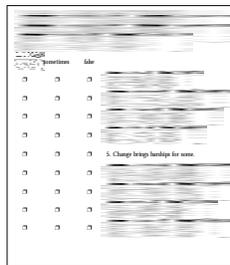
understanding

collaborations

strongly resist change, generally has the lowest formal educational and socioeconomic levels of all groups, are usually the oldest. This group reminds us that there are some people who will always oppose change. Never expect full support in your community.

- **EXAMPLE:** In Larkin County the Innovators were the three people having coffee who first discussed the issue. Early Adopters were the first folks who listened to them and together with the Early Majority formed the first group to actually study the problem. This took two years. The Late Majority came on board about the time that community action planning formed large public forums and Laggards adopted the change after the issue had become commonplace within the community and the collaboration had already developed many positive success stories.
- **ACTIVITY:** After discussing these ideas, ask participants to discuss where they see themselves as a group right now. Where do you fit? Does your fit depend on the issues at hand? Where does your group fit? What individuals and groups in your community belong in which category? Whose support do you need to seek during the first year? Second year?

beliefs about change: (from the "Community Leader's Guide")

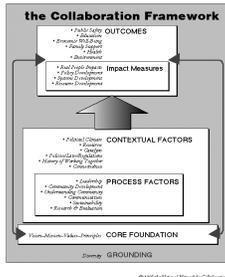


- **OUTCOMES:** To assist the group in identifying how they feel about change by thinking about their beliefs.
- **ACTIVITY:** Have participants begin to understand how they feel about change by filling out a rating sheet and discussing their responses. "This exercise will get you thinking about how you feel about change and your role in instigating and implementing change. Take five minutes or so to complete this questionnaire."
- **DISCUSS:** After participants complete the rating sheet have them discuss their attitudes about change within a small group. Afterwards you can elaborate: "If you answered 'true' to questions 2, 4, and 6, it may indicate a need to be a little more realistic. If you answered 'true' to questions 7 and 9, this may indicate a pessimistic attitude that may make it hard for you to work energetically for change. If you answered 'true' to questions 1, 3, and 5, it indicates a recognition of the real problems involved in change."
- **OPTIONS:** Check to see if there are other beliefs about change not on this list that anyone would like to add and discuss.

Unit 1

understanding collaborations

using the Framework for collaborative efforts:



- **OUTCOMES:** To assist the group to understand the five elements of the Collaboration Framework.
- **DISCUSS:** Grounding, Core Foundations, Outcomes, Process and Contextual Factors.

(1) Grounding is the bedrock for successful collaborative efforts. It entails honoring the diversity—the unique gifts and talents—of each person, group and organization within the collaboration, and striving to include all relevant parties in the collaboration.

(2) The Core Foundation represents the common ground of understanding and purpose inspiring your collaborative group. This is on-going and a process where you will continually refine and articulate your vision, mission, values and principles.

Process and Contextual Factors represent those things that can either help or hinder your collaboration. (3) Process Factors include specific tools to build effective working relationships.

(4) Contextual Factors are conditions either existing or lacking within your environment which may enhance or inhibit your efforts.

(5) Outcomes are the desired future conditions for your community, such as increased livable wage jobs for families, or decreased vandalism and increased public safety.

- EXAMPLE: In our case scenario Grounding consisted of taking a community-based approach, integrating diversity with stakeholders from three distinct cultural communities, a broad range of socio-economic levels, and having both old and young people participate during all developmental phases.

The Core Foundation developed a vision to insure young people became contributing, productive community citizens.

Process Factors utilized a community action planning approach that engaged a wide cross-section of people, identified underlying root causes, and developed specific courses of action.

Contextual Factors included a history of community groups working together. Historically, people did not perceive the issue as a problem.

Examples of Outcomes included three areas: (1) Education - people will be prepared for the 1990's knowing that 90% of the jobs by the year 2000 will require post-secondary education; (2) Health - people will become parents when they can support their family economically with good parenting skills, and also be contributing community members; and (3) Economic - to have a quality community workforce for jobs for young people needing to have at least a high school education.

Unit 1

understanding collaborations

understanding collaborative goals:

- **OUTCOMES:** To assist participants in identifying their collaborative goals.
- **DISCUSS:** General Goals for Collaboration are: (1) Build community capacity, (2) Promote the well-being of children, youth and families, and (3) Solve existing and emerging problems.

Specific goals for your collaboration may be: (1) About the well-being of your community - all community members will be committed to creating a positive environment; (2) Healthy life-styles - all community members will have the resources to reach their full physical, mental, emotional and spiritual capacity; or (3) Safety - community neighborhoods will be safe and secure.

- **ACTIVITY:** Have participants describe their goals for collaboration and discuss their responses. Analyze themes with the group. Have the group prioritize their goals.

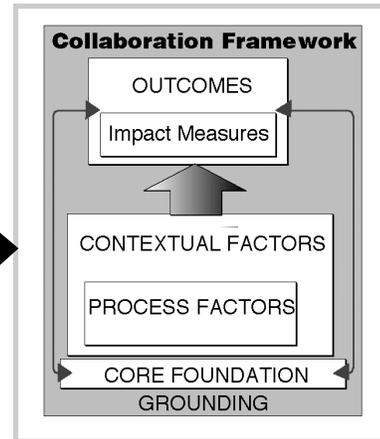
The worksheet is titled "Identifying Collaborative Goals" and includes a section for "General Goals for Collaboration" with three bullet points: (1) Build community capacity, (2) Promote the well-being of children, youth and families, and (3) Solve existing and emerging problems. Below this, there is a section for "Specific Goals for Your Collaboration" with three numbered options: (1) About the well-being of your community, (2) Healthy life-styles, and (3) Safety. The bottom half of the worksheet consists of a large area of horizontal lines for writing.

- **OPTIONS:** (1) Have participants write down their goals on the worksheet and discuss it in small groups, or (2) After individuals have filled out the worksheet, have them transcribe their top two goals onto colored sticky notes. Have all participants put their sticky notes on a wall or flip chart page and then group them categorically.

guide

unit 1

to materials



- **What Collaboration Means.**
the Framework defined - communicate / cooperate / collaborate - case scenario - the Collaboration Framework overview.
- **How Collaborations Fit Within Changing Community Conditions.**
rate your community conditions.
- **Planning For Change.**
planned change - focusing map for planned change.
- **How Change Comes About.**
stages of accepting new ideas - how change comes about.
- **Beliefs About Change.**
beliefs about change.
- **Using The Framework for Collaborative Efforts.**
the Collaboration Framework's 5 elements.
- **Understanding Collaborative Goals.**
identifying your collaborative goals.

Unit 1

the Framework defined

the Collaboration Framework

bringing individuals,
organizations and
communities together
in an atmosphere of
support and respect
to solve emerging
problems too big for
one group alone.

Unit 1

communicate - cooperate - collaborate

3

COLLABORATE
COLLABORATE
COLLABORATE



2

COOPERATE
COOPERATE



1

COMMUNICATE

Unit 1

case scenario

This is an actual case study of collaboration in which names have been changed.

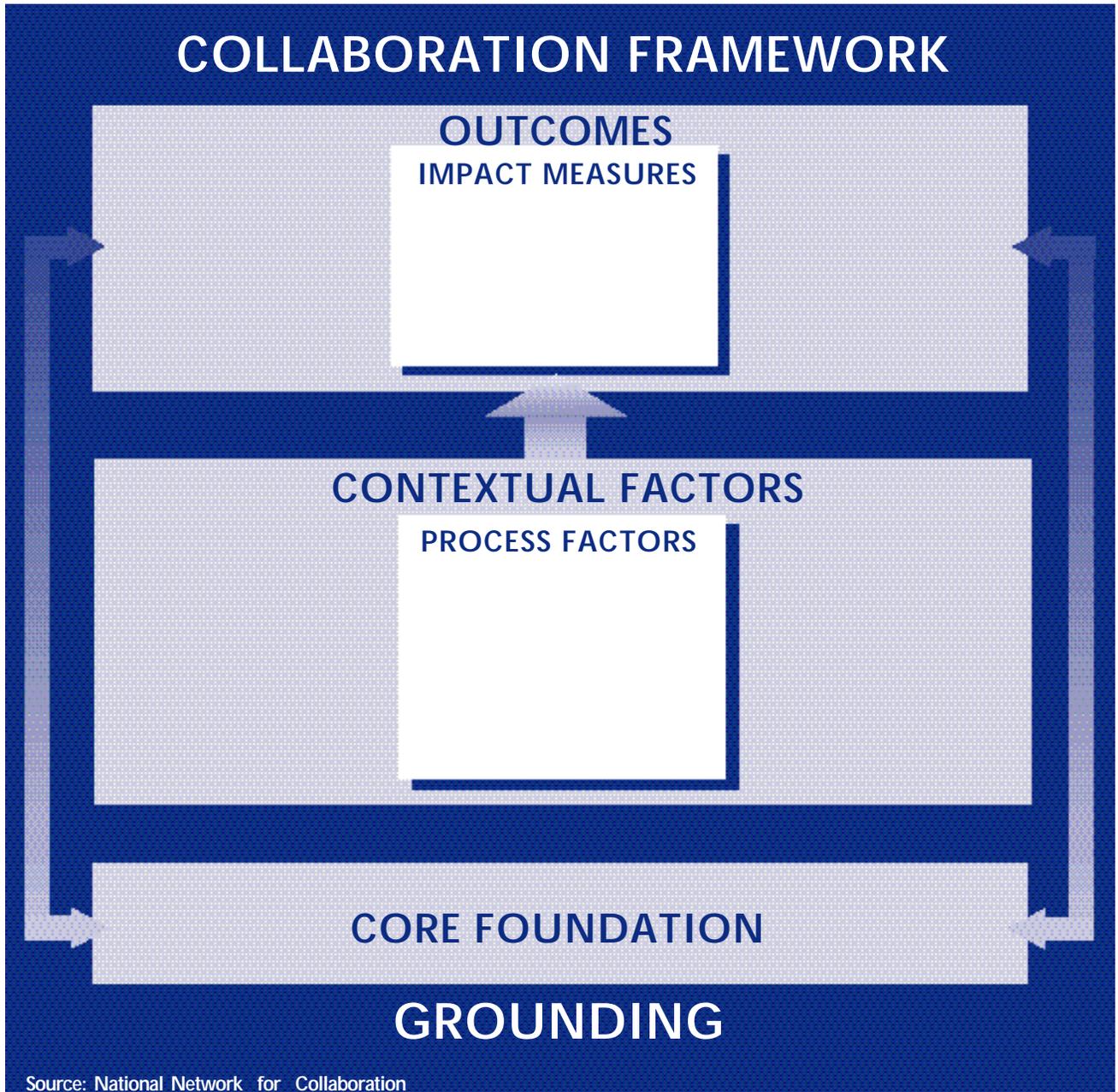
THE COMMUNITY: Larkin County has a population of approximately 20,000 people. Principle industries are agriculture, forest products and tourism. There is a range of socioeconomic levels.

THE LEADERSHIP: Community leaders—the County Commissioners, school superintendent, key businesspeople—hold much of the decision-making power within the county.

THE PROBLEMS: They were not alarmed when two problem indicators developed: (1) 51% of the high school students had dropped out (1/2 of the dropouts were girls), and (2) Larkin County had the highest rate of teen pregnancy in the State, and it was twice the state average (98% of these girls had at least one child before dropping out). But the perception of key leaders was, "this is the way it has always been, and nothing we can do will change that."

AWARENESS & DIVERSITY: Informally, three people began to meet over coffee, talking about how awful these issues were. After a while their discussion shifted from "ain't it awful" to "what do you think we can do?" They began seeking out environments where key leaders met in common, like the Rotary Club, talking with more people, until more concerned citizens—both youth and adults—wanted to investigate the problems.

THE OUTCOMES: Two years later they had a group formed to study the issue. Another two years went by and 11 different organizations within their community had a portion of their baseline budget dedicated to teen pregnancy prevention and intervention programming. And in the succeeding years they have seen the percentages of high school dropouts become less, along with a remarkable decrease in the percentage of teen pregnancy within their county.



Unit 1

rating community conditions

Rate Your Community Conditions

Competition

Collaboration



Reaction

Prevention



Experts

Citizens



Activity Driven

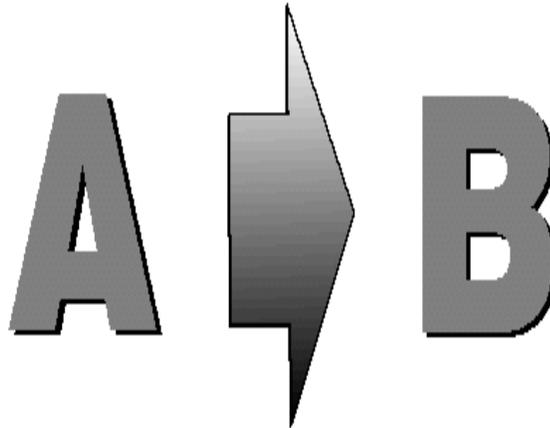
Vision Driven



Control Decisions

Share Decisions





A = Current Conditions

B = Desired Results

 **= Moving From A to B**

Unit 1

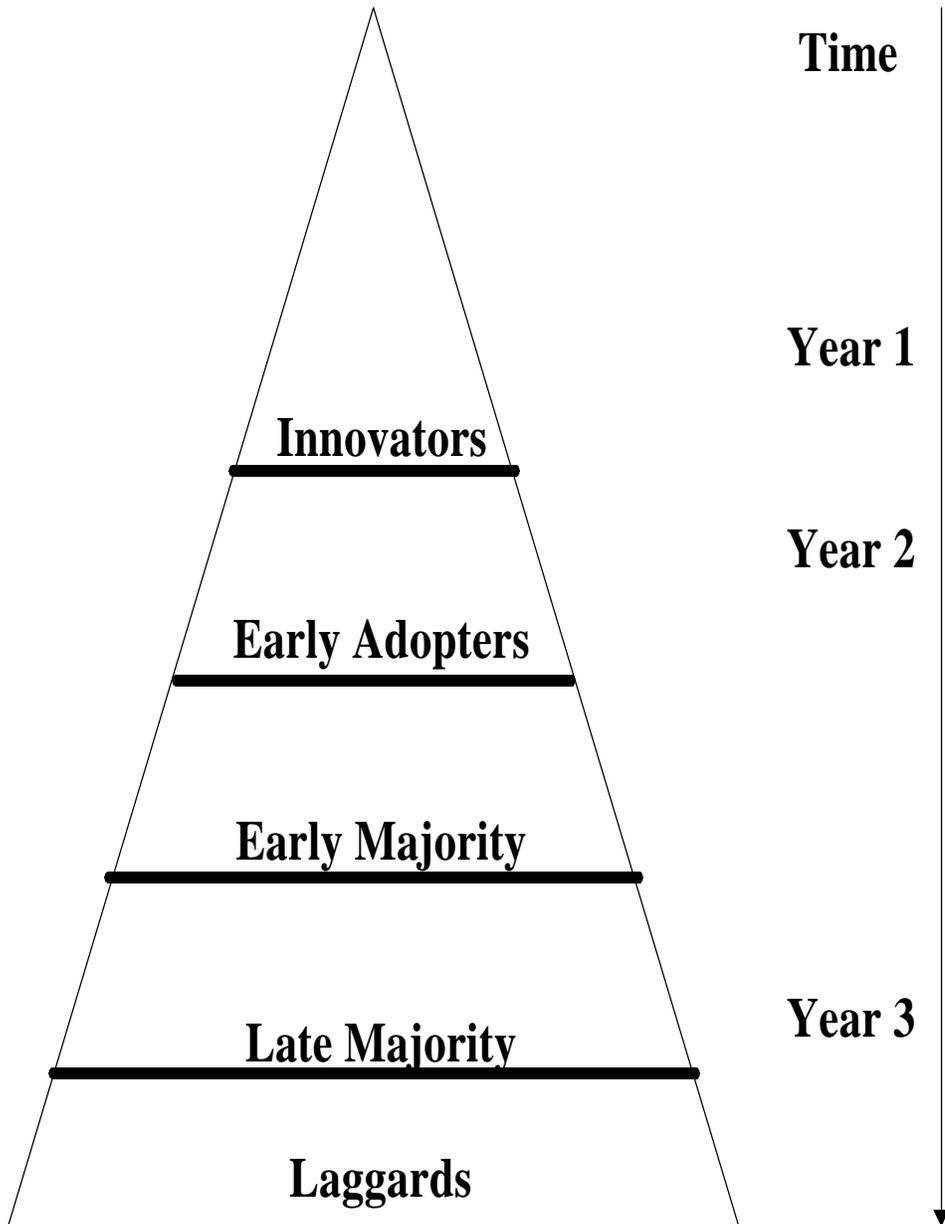
focusing map for planned change

B:
What Is the Future condition You Plan to Accomplish?
C:
What Are The Strategies To Move From A to B?
Facilitating Forces...
Restraining Forces...
A:
What Are The Strategies To Move From A to B?

1. Awareness
2. Interest
3. Evaluation
4. Trial
5. Acceptance

Unit 1

how change comes about



Unit 1

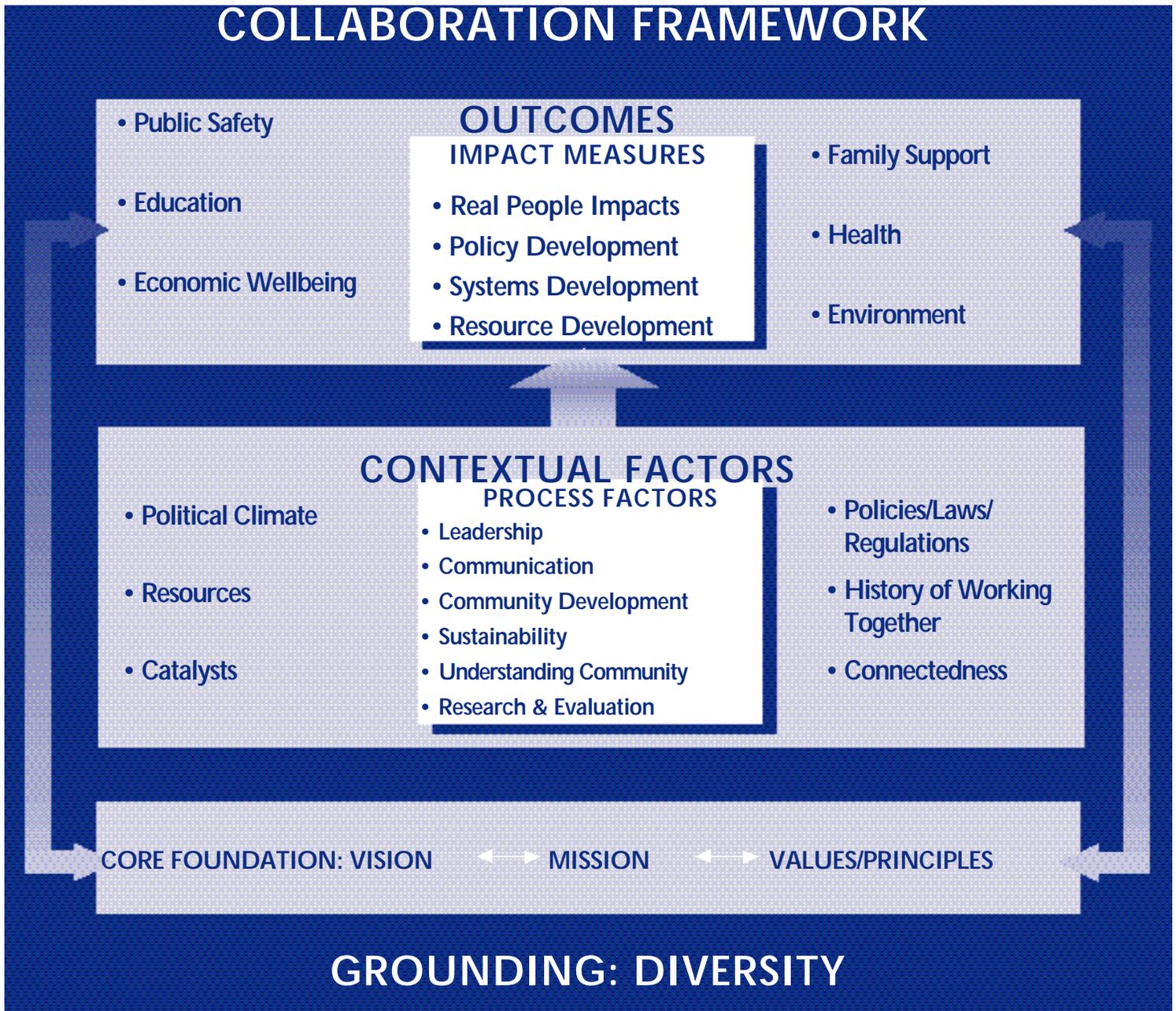
beliefs about change

Check whether you believe the following statements are true, sometimes true, or false. This exercise is designed to help get you thinking about how you feel about change and your role in instigating and implementing change. In the space available expand upon why you responded as you did.

- | true | sometimes | false | |
|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. People tend to resist change. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 2. Only momentous change is worthwhile. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 3. Nothing can be changed overnight. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 4. Change means improvement. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 5. Change brings hardships for some. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 6. Change brings reward for the instigators. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7. Technological change should be slowed. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 8. Change usually comes by chance. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 9. People cannot adapt well to any change. |

Unit 1

the Framework's 5 elements



Unit 1

rating community conditions

Rate Your Community Conditions

Competition

Collaboration



Reaction

Prevention



Experts

Citizens



Activity Driven

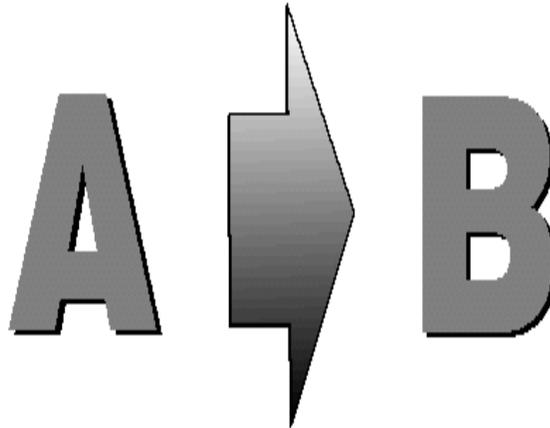
Vision Driven



Control Decisions

Share Decisions





A = Current Conditions

B = Desired Results

 = Moving From A to B

Unit 1

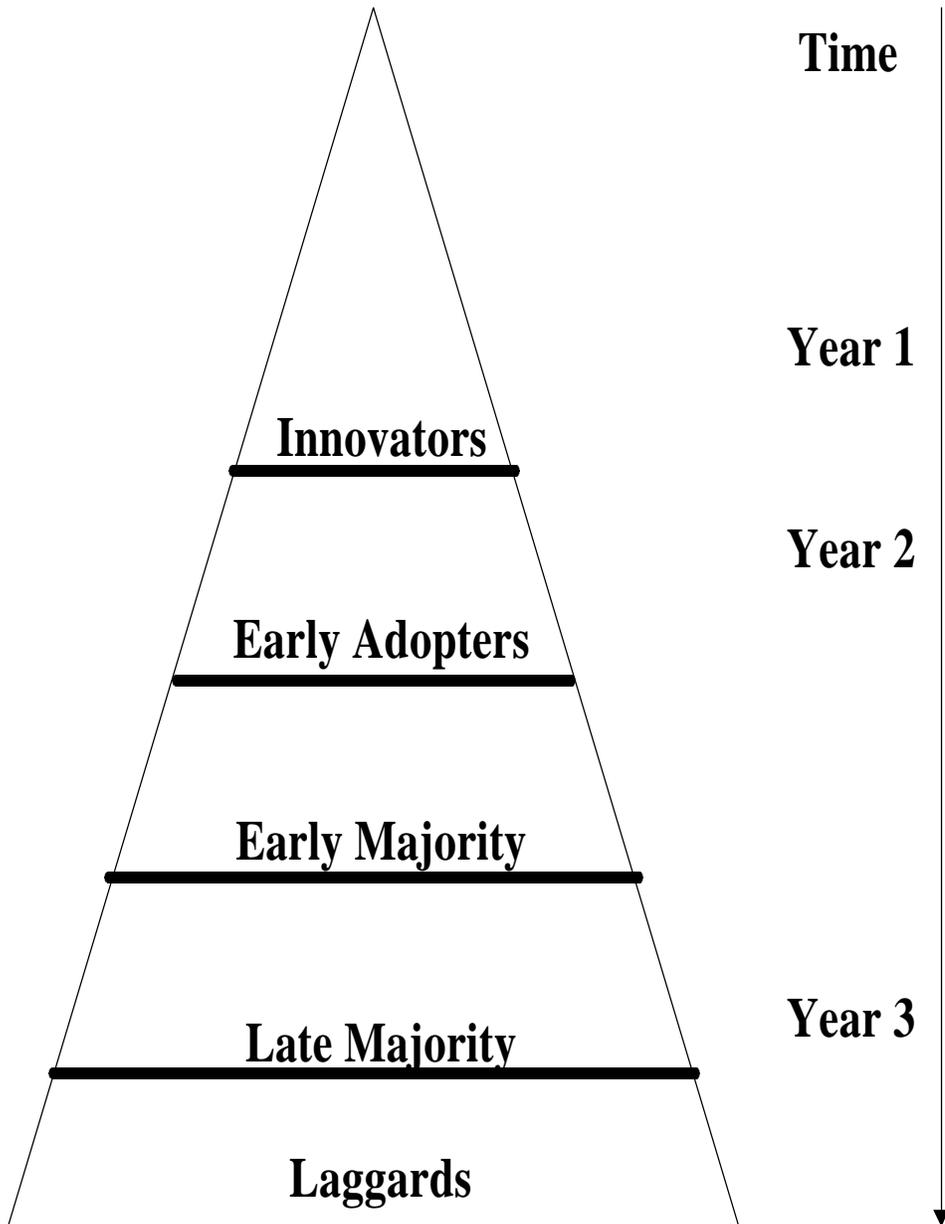
focusing map for planned change

B:
What Is the Future condition You Plan to Accomplish?
C:
What Are The Strategies To Move From A to B?
Facilitating Forces...
Restraining Forces...
A:
What Are The Strategies To Move From A to B?

1. Awareness
2. Interest
3. Evaluation
4. Trial
5. Acceptance

Unit 1

how change comes about



Unit 1

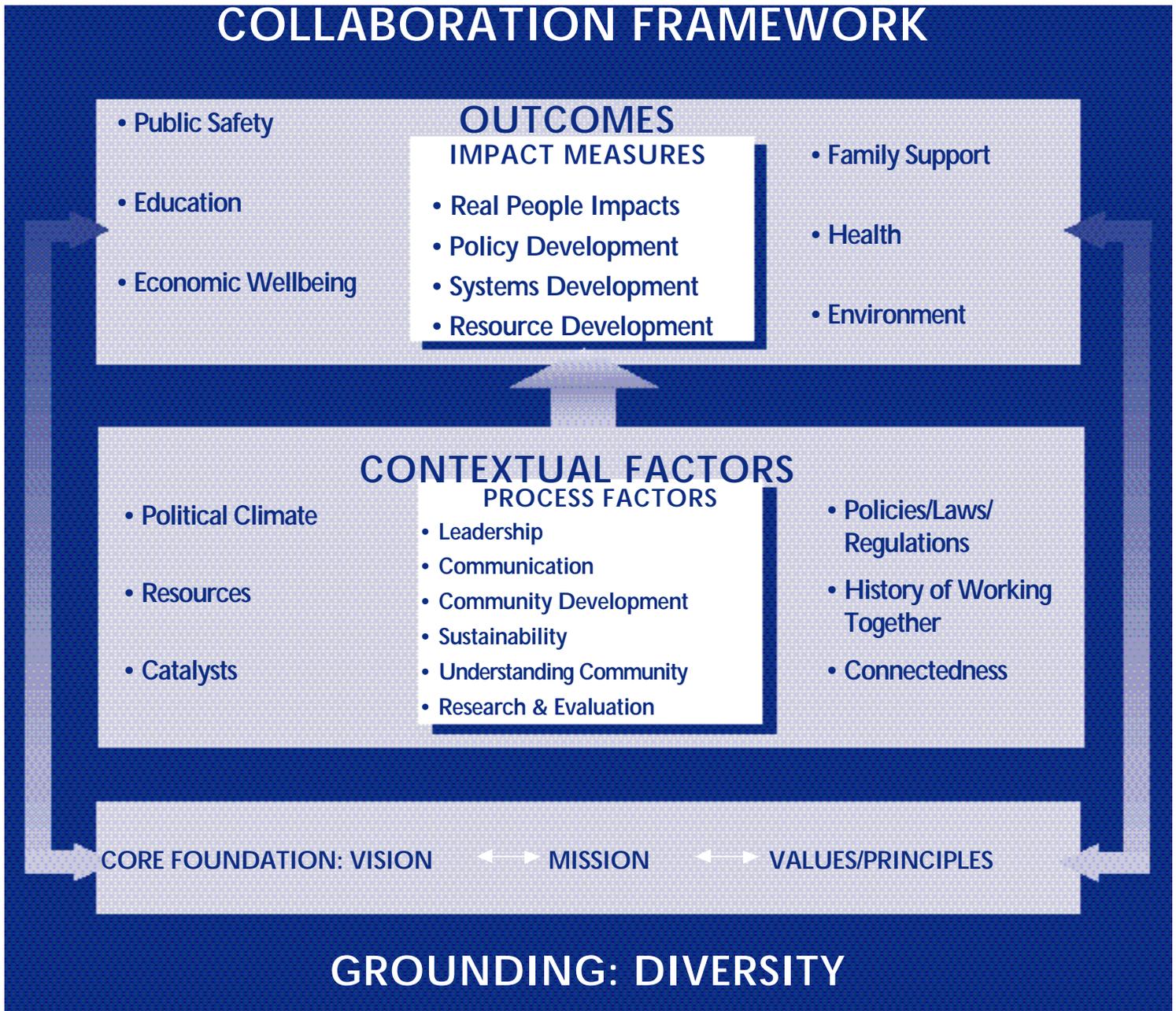
beliefs about change

Check whether you believe the following statements are true, sometimes true, or false. This exercise is designed to help get you thinking about how you feel about change and your role in instigating and implementing change. In the space available expand upon why you responded as you did.

- | true | sometimes | false | |
|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. People tend to resist change. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 2. Only momentous change is worthwhile. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 3. Nothing can be changed overnight. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 4. Change means improvement. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 5. Change brings hardships for some. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 6. Change brings reward for the instigators. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7. Technological change should be slowed. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 8. Change usually comes by chance. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 9. People cannot adapt well to any change. |

Unit 1

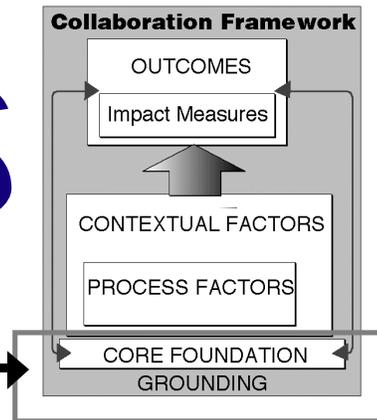
the Framework's 5 elements



2
initiating
& advancing
collaborations

unit 2 focus

a look at the first two
elements in the Collaboration
Framework: grounding
& core foundation.



- Catalysts That Initiate Collaborative Efforts.
- Problem Solving Behavior.
- Shifting Our Thinking.
- The Importance of Grounding.
- Great Teams & Common Purpose.
- Building A Core Foundation.
- Defining A Common Vision.

Time: 45 minutes to 4 hours depending upon the number of people, the level of current knowledge, and the manner of facilitation.

Audience: 10-50 people interested in collaborating together.

Equipment: Overhead projector, paper, pencils, flip chart, felt pens, post-it notes, tape, push pins.

Unit 2

initiating & advancing collaborations

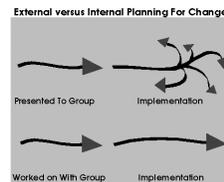
catalysts that initiate collaborative efforts

- | |
|--------------------|
| 1.
the Issue |
| 2.
the Convener |

- **OUTCOMES:** To assist the group in identifying existing or potential catalysts that may enhance or inhibit the collaboration.
- **DISCUSS:** What has brought you together? Is there a commonly held issue, problem, shared vision, crisis or outcome that is driving this collaborative effort? In the beginning, as your collaboration is initiated, it is critical for all existing and potential members to understand the forces bringing you together - the catalysts for your collaboration.

Catalysts get your collaboration started. But for a successful collaborative effort two types of catalysts are needed: (1) A community-wide issue. The reason(s) or predicating factor(s) must be viewed by your community as a situation requiring a comprehensive response; and (2) A convener or conveners. The convener(s) calls an initial meeting, draws folks into dialoguing about the issue, and helps bring people towards developing solutions to the situation. This person acts as a catalyst within the community, and should be respected and viewed as a legitimate player. They must carry out their role with passion and respect, and have good organizational and interpersonal skills.

The idea of catalysts is so important that it comes into play in two parts of the Framework: (1) In this Unit - Initiating Collaborations, and (2) as one of the six Contextual Factors related to the effective-



ness of a collaboration as discussed in Unit 4.

Equally as important as the idea of a catalyst, is the notion that a fully thought out plan brought to a group for their implementation has much less chance of moving forward than a plan or idea brought to the group and worked out with the group for implementation.

- **EXAMPLE:** Before the prevention of youth violence can be an issue to collaborate around, a community must view youth as having the skills that can enhance the quality of life in the community.

problem solving behavior (as developed in the Community Leader's Guide).

- **OUTCOMES:** To understand the need for a representative group effort and to assist participants in identifying their strengths and weaknesses when helping the group through planning or problem-solving processes.
- **DISCUSSION:** We've all been embroiled in problems, sometimes unwittingly, and occasionally by the circumstances we find ourselves in. As we move towards collaborating in our communities to solve priority issues several things are important.

Mutual Solutions to Community Problems = a Real Willingness to Work with the Diversity of your Community...

It's crucial to have a representative and diverse group involved in your efforts. To help form this type of group ask the following questions: "Who is affected by the problem?" "Who might be affected

Unit 2

initiating & advancing collaborations

by the plan?" "Who will be responsible to support the plan?" "Whose opinion needs to be changed or altered to become an advocate for the collaboration?" Seek young and old, male and female, wealthy and low-income, college and self-educated, and diverse ethnic viewpoints. Seek people from various geographic areas and representatives from different agencies. You need a cross-section of your entire community.

Planning for solutions to issues involves a number of steps. After getting a diverse and representative group together, members need to develop a way in which to plan and work together. To do this they will have to reach agreement as to why they have formed a group and what process and timetable they will follow. To move in this direction ask the following questions: "who needs to be involved in establishing the overall purpose of the planning effort (vision, mission, values and principles) and how long will this take?" "Who needs to be involved in setting the goals and objectives?" "How long will we allow for action planning?" "Who will be responsible for specific activities and outcomes, and what will the timetable be?"

1. When a problem comes up in a meeting, I try to make sure it is thoroughly explored until everyone understands what the problem is.	... always
2. I ask why the problem exists and what the causes are.	... always
3. If I don't see a solution, I try to get the group to brainstorm.	... always
4. When a group decides upon which solution to adopt and implement, I make certain it is clear what the decisions, who should carry out, and when.	... always
5. I don't like to be really steady or define a problem the group is working on.	... always
6. I have a tendency to propose solutions without really having thought the problem and its causes through carefully.	... always
7. I make sure the group discusses the pros and cons of several different alternatives related to a problem.	... always
8. If I and the other decisions remain vague, I get the group with a sense of things without a lot of direction.	... always
9. I push for detailed follow-up on how decisions reached at earlier meetings work out in practice.	... always
10. I know if the quality of the group's work are worth the effort.	... always

- **ACTIVITY:** How do you behave as a member of a group that is struggling with an issue? This exercise will help you better understand your strengths and weaknesses in helping your group through a planning or problem-solving process, and rethink your possible leadership role and personal development goals.

- **OPTIONS:** (1) Make handouts of Problem Solving Behavior and have individuals fill it out, and discuss it in small groups. (2) With a flip chart, poll the group after the exercise to get a read on where the group is as a whole, and mark the flip chart for everyone to see where the groups strengths and weaknesses are. (If you think members of the group may be threatened or unwilling to raise their hands in front of others do this anonymously by having members write on sticky notes and pass them in.)

shifting our thinking (from "A Whack on the Side of the Head - How You Can Be More Creative", by Roger von Oech).

1. The Right Answer.
2. That's Not Logical.
3. Follow The Rules.
4. Be Practical.
5. Play Is Frivolous.
6. That's Not My Area.
7. Avoid Ambiguity.
8. Don't Be Foolish.
9. To Err Is Wrong.
10. I'm Not Creative.

- **OUTCOMES:** To help participants understand creativity is important to collaborations.
- **DISCUSS:** In order to be successful collaborators we need to be able to shift our thinking: from being driven by problems to working towards our visions, from muddled roles to defined relationships, and from being activity driven to focusing upon outcomes. According to Roger von Oech there are several reasons why we don't "think something different" or act creatively: (1) we don't need to be creative for most of what we do, (2) we are creatures of habit and routine, and (3) we haven't been taught to be creative by our educational system. Moving into a collaborative venture, however, requires you to be creative and to generate new ways to accomplish your objectives. When you do, your own belief system may stop you, and that's another reason why we don't

Unit 2

initiating & advancing collaborations

"think something different": (4) most of us have certain attitudes that keep our thinking on the straight and narrow, doing the same thing we've always done. By opening up to a creative outlook you allow new possibilities and are more amenable to change.

- EXAMPLES: (1) One day Pablo Picasso went outside his house and found an old bicycle. He looked at it and took off the seat and handle bars. Then he went inside, welded them together and created the head of a bull. (2) In the winter of 333 B.C., the Macedonian general Alexander and his army arrived in the Asian city of Gordium to take up winter quarters. While there, Alexander heard about the legend surrounding the town's famous "Gordian Knot", for which a prophecy stated that whoever was able to untie this amazingly complicated knot would become king of Asia. Alexander studied the knot at length, tried a number of times to unravel its mystery, but ended up stymied. And then he got an idea to make up his own rule for untying the knot, took out his sword, and sliced the knot in half. Asia was fated to him.

1. An eccentric old king wants to give his throne to one of his two sons. He decides that a horse race will be run and the son who owns the slower horse will become king. The sons, each fearing that the other will cheat by having his horse run less fast than it is capable, ask the court fool for his advice?

2. Think of a way you can put a sheet of newspaper on the floor so that when two people stand face to face on it, they won't be able to touch one another. Cutting or tearing the paper is not.

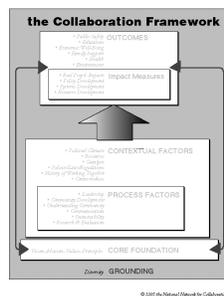
3. This has two parts - by adding only a single line turn the Roman numeral seven into an eight: VII. Want something more challenging? Show here is a Roman numeral nine: IX. By adding only a single line, turn it into a 6.

- ACTIVITY: Three exercises give participants a chance to "think something different" and can be handed out individually, in small groups, or simply discussed in a large group setting.

There are no "right" answers to these exercises, but if folks are stymied here are some answers: (1.) Switch Horses. (2.) Try putting the newspaper in a doorway - door closed - with the two people stand-

ing on each side. (3.) VII = VIII, Here are three different answers to turn IX into 6: (a) put a line through the middle of the Roman number IX, turn it upside down and cover the bottom half, (b) SIX, (c) IX6 or 1 times 6 = 6.

the importance of grounding



- **OUTCOMES:** To create an understanding of grounding and the value of diversity in participants.
- **DISCUSS:** Grounding is the bedrock or earth upon which we build the foundation and structure of the Collaboration Framework. Think of it this way: Before we build a foundation, we need to know if the soil can support the foundation's weight. If the earth is too sandy, too moist, or too hard we have two choices: (1) We can add ingredients to the earth to bring it to more of a balance in order to support the foundation more securely; and/or (2) We can consider different requirements for our foundation – perhaps we'll use a slab foundation, or drive piles deep into the earth to support a structure built upon a swamp. So it is with building collaborations.

The ground for collaborative efforts is diversity. Before we can develop a foundation of vision, mission and values, we must assure that our collaborative effort honors the unique gifts and talents of each person, group and organization we bring to the collaboration, and for those persons and groups who may benefit from our efforts. Diversity provides a

Unit 2

initiating & advancing collaborations

Check any of the following situations you notice and/or are experiencing in this collaborative effort.

PERSONAL KNOWLEDGE AND AWARENESS:

- Lack of awareness about my cultural identity, values and beliefs.
- Lack of awareness about the culture, values and beliefs of diverse groups or individuals within this collaborative effort.
- Lack of awareness about my own assumptions and biases about people who are different from me.
- Discomfort working with people from diverse cultures or beliefs.
- Frustration with people who don't speak English.

ORGANIZATIONAL AWARENESS:

THE VALUE OF DIVERSITY

Respects Differences

Seeks Common Ground

Builds Shared Vision

critical balance to all levels of collaborative efforts.

- **ACTIVITY:** This is a checklist, adapted from *Managing Diversity*, by Gardenswartz and Rowe, that participants may fill out individually, discuss in small groups, or participate with in the full group. This is designed to raise awareness, identify issues and provide beginning steps for taking action.
- **DISCUSS:** Honoring diversity is a value each member of the collaboration must hold in order for your effort to be successful. Individuals must respect each other for who they are in order to be able to trust and become productive, functioning members.

This type of thinking leads us to an understanding that all current and future members of our collaboration are interconnected in a diverse pattern. And with this we may begin to think of the collaboration in terms of a living system (which we'll look at closer in Unit 4), seeing interrelationships rather than things, seeing patterns of change rather than a static snapshot. This, in turn, allows us to shed old attitudes of blame and guilt, and naturally develop more compassion and empathy.

When a real diversity of people and opinion exists in your group, a shared vision often takes hold. Understanding each other's perspective, listening to other's ideas, and mutual agreement is more likely to occur.

Appreciation and respect for diversity includes our personal and professional behaviors, attitudes and values, and policies. These must come together in a

way that allows the full collaboration to work effectively, respectfully, appreciatively in cross-cultural situations, or with minority populations, or with any persons different from the "norm" in our community – whether recognized for their color, religion, sexual orientation, inability to walk up stairs, or their need for sign language interpretation. A system respectful of diversity acknowledges and makes an effort to include in all that it does the importance of diverse cultures of racial, ethnic, religious or social groups. We must be proactive in meeting diverse needs, respect our differences, seek common ground, build on shared vision, and allow variation as we implement solutions.

great teams & a common purpose (from "The Essence of the Learning Organization" and Rick Ross' "Backing into a Vision", from The Fifth Discipline Fieldbook)

- **OUTCOMES:** To develop collaborative goals, and surface participants feelings about their level of commitment.
- **DISCUSS:** "At some time or another, most of us have been a member of a "great team." It might have been in sports, or the performing arts, or perhaps in our work. Regardless of the setting, we probably remember the trust, the relationships, the acceptance, the synergy—and the results that we achieved. But we often forget that great teams rarely start off as great. Usually, they start as a group of

GREAT TEAMS

Trust
Relationships
Acceptance
Synergy
Results

Unit 2

initiating & advancing collaborations

individuals. It takes time to develop the knowledge of working as a whole, just as it takes time to develop knowledge of walking or riding a bicycle. In other words, great teams are learning organizations—groups of people who, over time, enhance their capacity to create what they truly desire to create.



"Looking more closely at the development of such a team, you see that people are changed, often profoundly. There is a deep learning cycle. Team members develop new skills and capabilities which alter what they can do and understand. As new capabilities develop, so too do new awarenesses and sensibilities. Over time, as people start to see and experience the world differently, new beliefs and assumptions begin to form, which enables further development of skills and capabilities. This deep learning cycle constitutes the essence of a learning organization—the development not just of new capacities, but of fundamental shifts of mind, individually and collectively." -p17.

- **ACTIVITY:** This is a warm-up exercise, helpful for talking about common goals in concrete terms, without mentioning "vision". It surfaces people's feelings about their own levels of commitment. Go through the following four questions one at a time, putting the answers up on flip chart paper:

1 WHAT ARE THE CHARACTERISTICS OF A GREAT TEAM TO WHICH YOU HAVE BEEN A MEMBER? Have participants answer individually, speaking to the group. Define the team any

way you like but it should be a team where you felt personally committed – where the team achieved extraordinary results.

2 WHAT WAS DIFFERENT ABOUT THIS TEAM? Discuss what felt truly special. It might be "I felt powerful", "I felt excited", "I believed in what we were doing", "We pulled together", "Together, we made a difference", "I felt like I owned it", "There was passion and commitment", "There was a clear challenge". A recorder for the group should write significant comments on a flip chart where everyone can see it, and post each completed page on the wall.

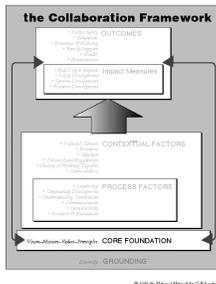
3 HOW CAN WE, AS A TEAM, CREATE THOSE KINDS OF FEELINGS HERE? Have participants ask each other: "What could we do, accomplish, or create together that would rekindle how we felt when we were members of "really great teams"? Brainstorm ideas, and have the group reach consensus around one that "fits" for everyone.

4 WHAT WOULD WE COMMIT OURSELVES TO? You may reach this point in an hour, or it may require more. When you reach this stage, the group commits to one or more initiatives, which may or may not include individual commitments for parts of the task. At this point the group has a shared set of priorities, and a new way of thinking about them – even though no one has used the word "vision". (Correlate this information with the information generated in the last activity of Unit 1: Understanding Collaborative Goals.)

Unit 2

initiating & advancing collaborations

building a core foundation



- **OUTCOMES:** To develop an understanding of the foundation of the Collaboration Framework.
- **DISCUSS:** The Core Foundation represents the common ground of understanding for the Framework, and focuses upon creating a sense of common purpose that brings partners together, inspiring them. This takes time, care and strategy to build well, and is never ending. It encompasses the vision, the mission, and the values and principles of the group.

The **VISION** is an image of a desired future.

The **MISSION** defines the purpose of the collaboration and represents the fundamental reason for the collaboration's existence.

THE VALUES AND PRINCIPLES are the beliefs that individuals and the group hold. These are the guides for creating working relationships and describe how the group intends to operate on a day-by-day basis.

defining a common vision (from Charlotte Roberts'

"What Do We Want to Create?", from The Fifth Discipline Fieldbook)

- **OUTCOMES:** To have participants build a shared vision and purpose for their collaborative efforts.

WHAT DO WE
WANT TO CREATE?

1. The Vision of the Future...
2. Current Reality...
3. Focusing Our Reactions...

- **ACTIVITY:** Two series of questions are talked through bringing pertinent issues to the forefront. Spend time only with the questions which are meaningful to your team - different groups will be attracted to different questions. The words, phrases and ideas that emerge from this exercise become the foundation for building a shared vision and purpose. Afterwards, a third series of questions allows group members to try and focus their reactions and decide whether the ideas made sense.

This exercise was designed for businesses and has been shifted to work in the social service arena. You may want to change some of the questions to make them more relevant to your specific audience. Make sure each member of the team has an opportunity to comment on each of the questions. Note the main points on a flip chart that everyone in the group can see. After each question (at least during the first step) ask: "How would we measure our progress?"

STEP 1: The Vision of the Future. It is five years from today and you have created the collaboration you wanted to create. (Take time as a facilitator to get the participants personally involved in this future sensibility.) Now it is your job, as a team, to describe it—as if you were able to see it, realistically, around you. Consider these questions one by one, painting an ever-clear shared vision of your future collaboration. After each question, ask: "How would we measure our progress?"

1 Who are the stakeholders of this collaboration we have created (five years from now)? How do we

Unit 2

initiating & advancing collaborations

work with them and produce value for them?

2 What are the most influential trends that may affect us?

3 What is our image in the marketplace?

4 What is our unique contribution to the world around us? What is the impact of our work?

5 How do we make money?

6 What does our organization look like? How do the important elements of the infrastructure interact?

7 How do we handle good times? How do we handle hard times?

8 In what ways is our collaborative effort a great place for us?

9 What are our values? How do people treat each other? How are people recognized?

10 How do we know that the future of our collaboration is secure? What have we done to ensure its future for ourselves? What have we done to ensure its future for our grandchildren?

11 What is our collaboration's role in our community?

STEP 2: Current Reality. Now come back to the current year, and look at the collaboration as it is today.

12 What are the critical forces in our systems?

13 Who are the current stakeholders today—inside and outside? What changes do we perceive taking place among our stakeholders?

14 What are the most influential trends in our industry today?

15 What aspects of our collaboration empower people? What aspects disempower people?

16 How is the strategic plan currently used?

17 What major losses do we fear?

18 What do we know (that we need to know)?
What don't we know (that we need to know)?

STEP 3: Focusing Our Reactions. This shared vision exercise involved listening to other people's presentations of what they want the collaboration to be. After hearing a presentation, we often need a way as individuals to focus our reactions and to decide whether these ideas make sense for us. These questions provide that vehicle.

19 What, for you, are the key words in this vision statement?

20 How did you first feel at the moment when you saw the vision or read it?

21 How do you feel about it now?

22 Do you feel like you could own it?

23 If not, how would it have to change for you to feel a sense of ownership of it?

Unit 2

initiating & advancing collaborations

24 How does it strike your sense of meaning and purpose?

25 If not, how would it have to change to be meaningful for you?

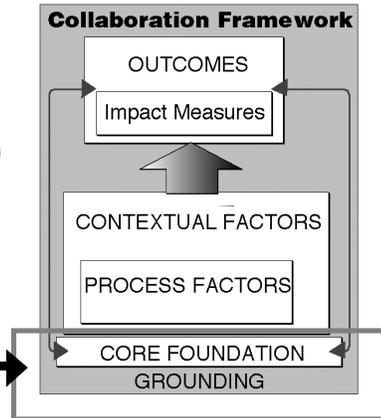
26 Based on your own reactions and feelings, what implications do you see, from this vision statement, for your collaboration's visioning process?

- EXAMPLES: A top team in a Mental Health System started with the third part of Question 1, and developed an image of themselves as passionately adding value to patients' lives, beyond the psychiatric prognosis and treatment: "We empower and facilitate patients toward personal growth and effective functioning." A team of computer engineers started with the second part of Question 4, and began to reconsider whether they should continue their focus on designing circuit boards. They ultimately described their vision as: "We are a winning, world-class component and system development group and the energy source to the group and the corporation as a whole." -p339.

guide

unit 2

to materials.

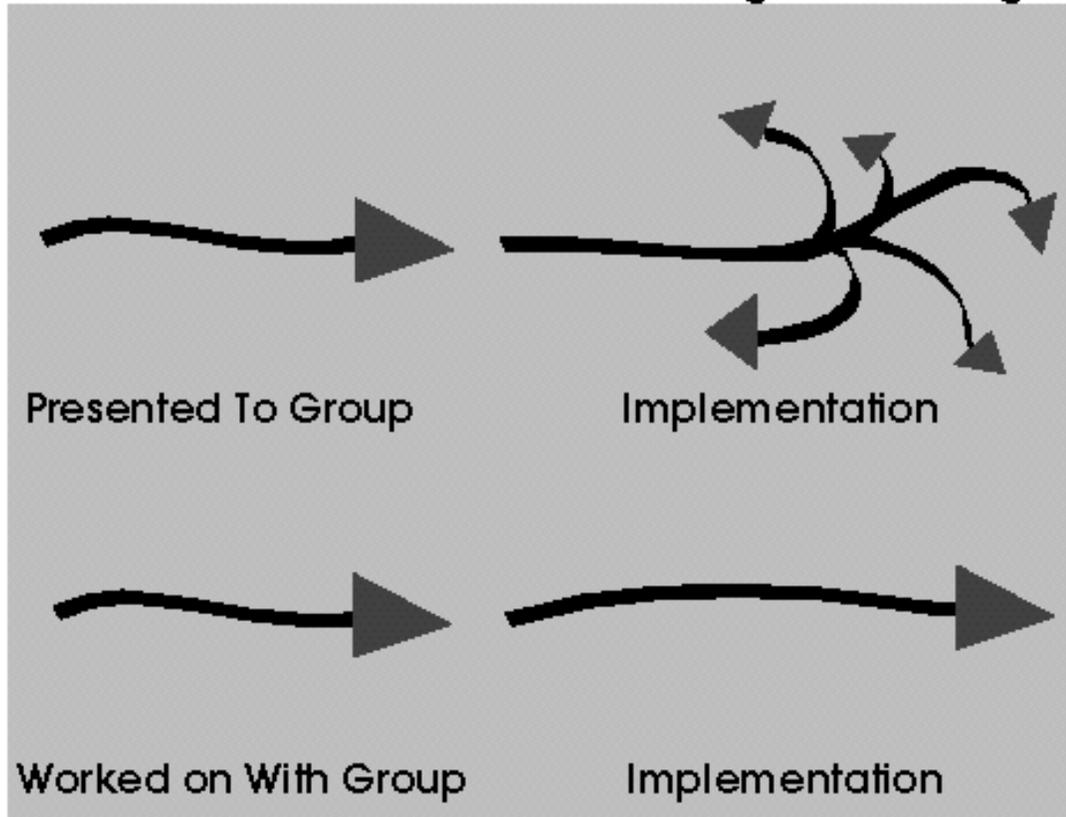


- **Catalysts That Initiate Collaborative Efforts.**
catalysts - internal planning.
- **Problem Solving Behavior.**
mutual solutions - problem solving behavior.
- **Shifting Our Thinking.**
mental locks - creativity exercises.
- **The Importance of Grounding.**
the Collaboration Framework: grounding.
- **Great Teams & Common Purpose.**
great teams - the learning cycle
- **Building A Core Foundation.**
the Collaboration Framework: core foundation.
- **Defining A Common Vision.**
shared vision.

1.
the Issue

2.
the Convener

External versus Internal Planning For Change



Mutual Solutions
to Community
Problems = a Real
Willingness to
Work with the
Diversity of your
Community...

Unit 2

problem solving behavior

1. *When a problem comes up in a meeting, I try to make sure it is thoroughly explored until everyone understands what the problem is.*
never | | | | | | | | | | always
2. *I ask why the problem exists and what the causes are.*
never | | | | | | | | | | always
3. *I tend to accept the first solution that is proposed by a group member.*
never | | | | | | | | | | always
4. *When a group decides upon which solution to adopt and implement, I make certain it is clear what the decision is, who should carry it out, and when.*
never | | | | | | | | | | always
5. *I don't take time to really study or define a problem the group is working on.*
never | | | | | | | | | | always
6. *I have a tendency to propose answers without really having thought the problem and its causes through carefully.*
never | | | | | | | | | | always
7. *I make sure the group discusses the pros and cons of several different alternative solutions to a problem.*
never | | | | | | | | | | always
8. *I tend to let decisions remain vague, figuring the group will take care of things without a lot of structure.*
never | | | | | | | | | | always
9. *I push for definite follow-ups on how decisions reached at earlier meetings work out in practice.*
never | | | | | | | | | | always
10. *I know if the results of the group's work are worth the effort.*
never | | | | | | | | | | always

Unit 2

mental locks

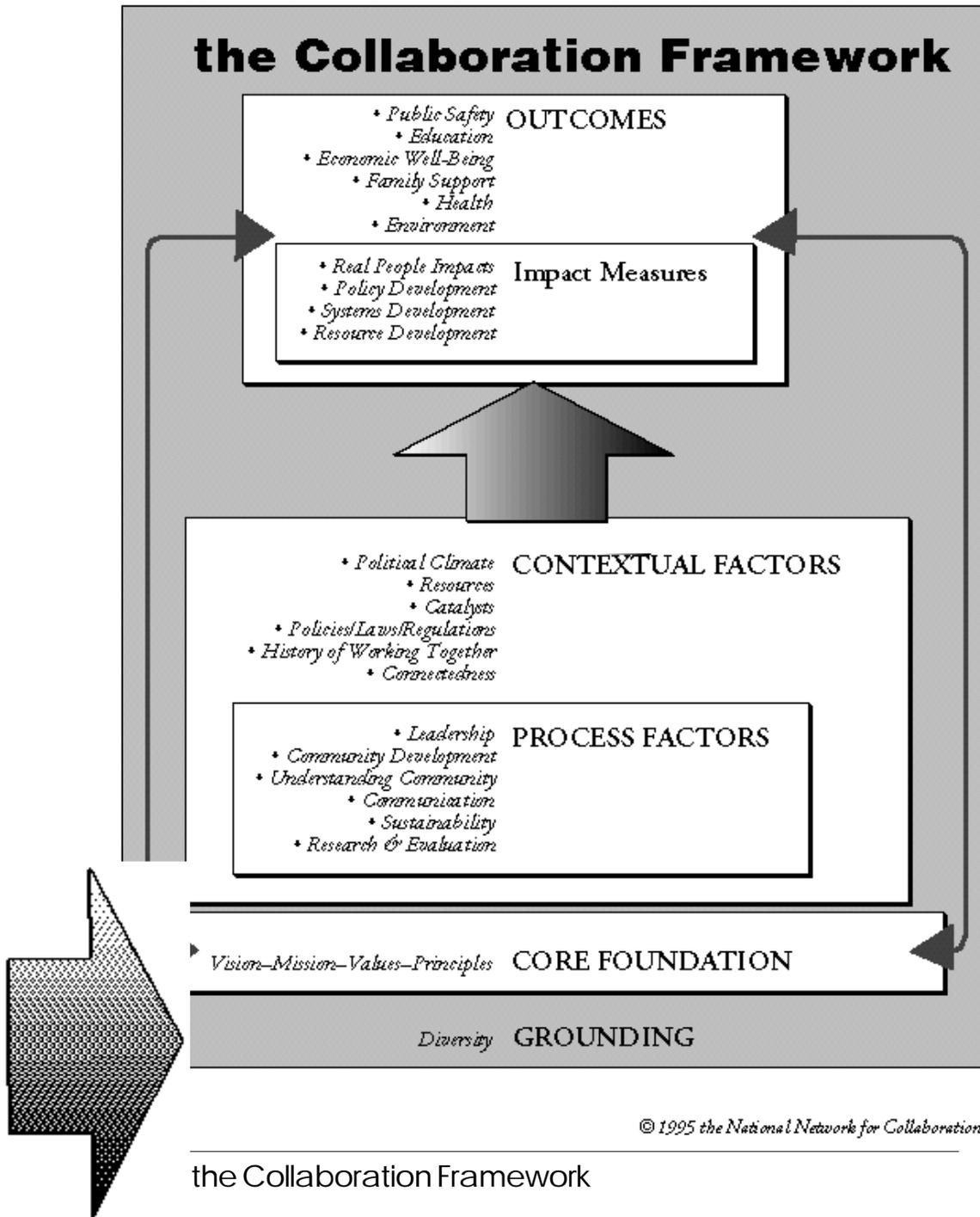
1. The Right Answer.
2. That's Not Logical.
3. Follow The Rules.
4. Be Practical.
5. Play Is Frivolous.
6. That's Not My Area.
7. Avoid Ambiguity.
8. Don't Be Foolish.
9. To Err Is Wrong.
10. I'm Not Creative.

1. An eccentric old king wants to give his throne to one of his two sons. He decides that a horse race will be run and the son who owns the slower horse will become king. The sons, each fearing that the other will cheat by having his horse run less fast than it is capable, ask the court fool for his advice. With only two words the fool tells them how to make sure that the race will be fair. What are the two words?

2. Think of a way you can put a sheet of newspaper on the floor so that when two people stand face to face on it, they won't be able to touch one another. Cutting or tearing the paper is not allowed, and neither is tying up the people or preventing them from moving.

3. This has two parts - by adding only a single line turn the Roman numeral seven into an eight: VII. Want something more challenging? Shown here is a Roman numeral nine: IX. By adding only a single line, turn it into a 6.

Unit 2



Creating organizations that value diversity require a recognition that diversity challenges exist and can create barriers to effective performance and service delivery. This checklist is designed to raise awareness, identify issues and provide beginning steps for taking action. Check any of the following situations you notice and/or are experiencing in this collaborative effort.

PERSONAL KNOWLEDGE AND AWARENESS:

- Lack of awareness about my cultural identity, values and beliefs.
- Lack of awareness about the culture, values and beliefs of diverse groups or individuals within this collaborative effort.
- Lack of awareness about my own assumptions ;and biases about people who are different from me.
- Discomfort working with people from diverse cultures or beliefs.
- Frustration with people who don't speak English.

ORGANIZATIONAL AWARENESS:

- Lack of a vision or mission that reflects the diversity of our community or collaboration.
- Lack of diverse membership in our collaboration.
- Ethnic, racial, gender slurs or jokes.
- Difficulty in recruiting and/or retaining diverse members.
- Ostracism of individuals who are different from the "norm".
- Minimum or non-existent relationships with diverse populations in the community.
- Architectual or structural barriers that limit access.
- Difficulty in accessing and promoting services to diverse groups.
- Lack of programs and services appropriate and accomodating to the needs of diverse persons.
- Lack of bilingual services.

THE VALUE OF DIVERSITY

Respects Differences

Seeks Common Ground

Builds Shared Vision

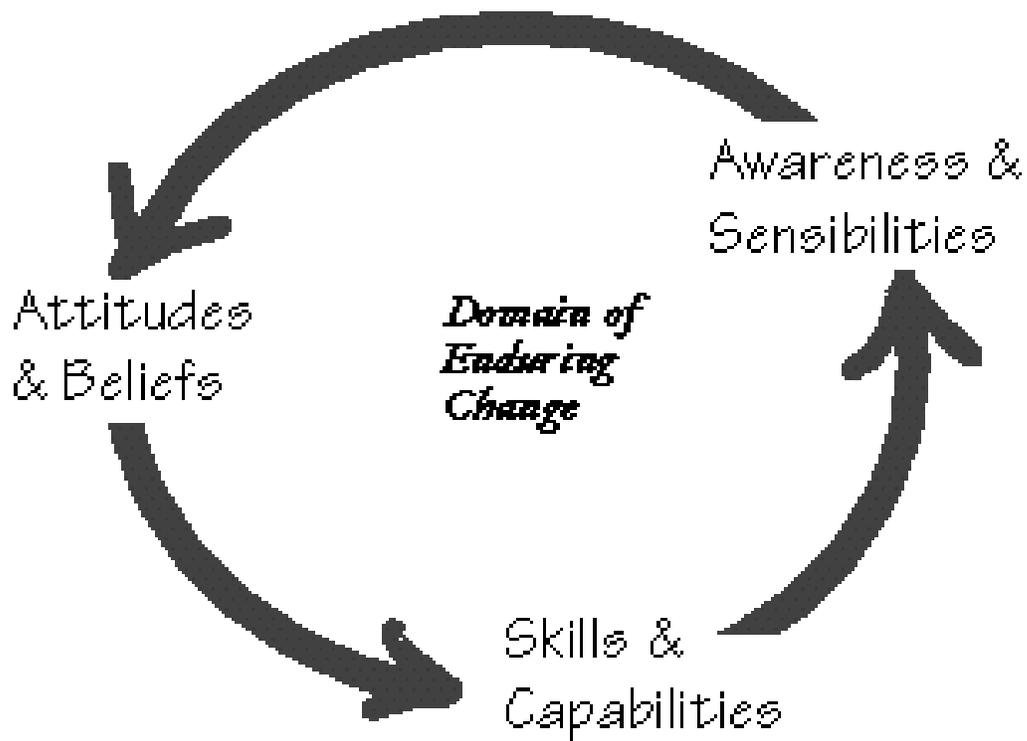
GREAT TEAMS

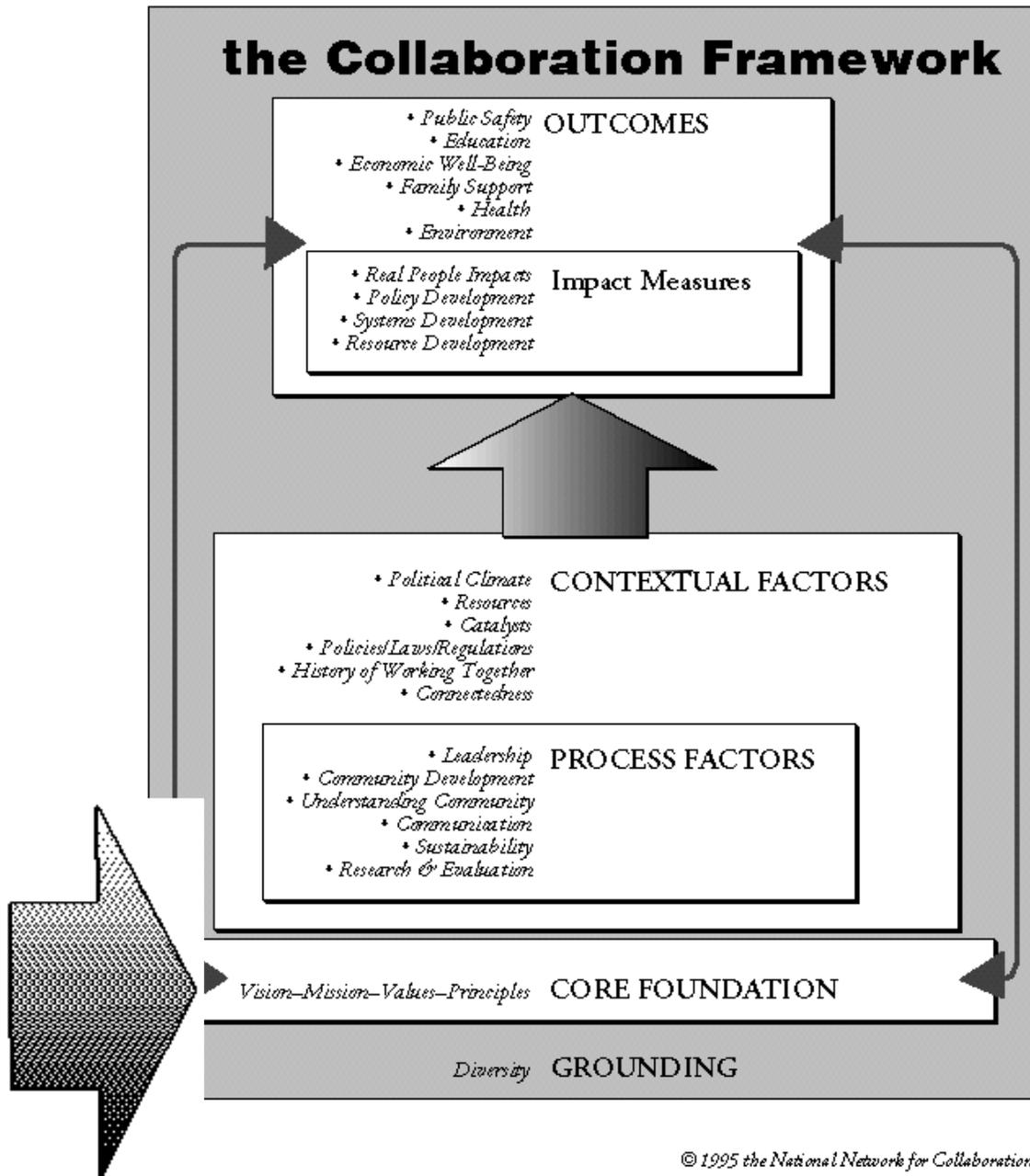
Trust
Relationships
Acceptance
Synergy
Results

Unit 2

great teams

Great Teams & The Essence of "The Learning Organization"





WHAT DO WE WANT TO CREATE?

1.

The Vision of the Future...

2.

Current Reality...

3.

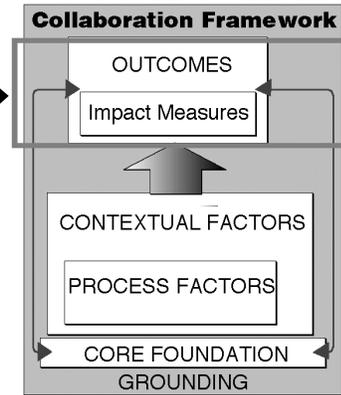
Focusing Our Reactions...

3

focusing on outcomes

unit 3 focus

a look at the fifth element in the Collaboration Framework: outcomes and their impact measures.



- Shared Vision & Outcomes.
- Outcomes & Accountability.
- Identifying Outcomes.
- Developing Outcome Indicators.
- Performing a Force Field Analysis on Outcome Measures.
- Understanding & Identifying Impact Measures.

Time: 45 minutes to 4 hours depending upon the number of people, the level of current knowledge, and the manner of facilitation.

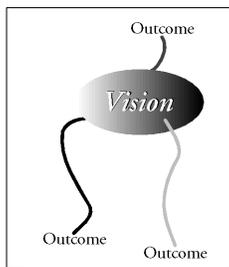
Audience: 10-50 people collaborating together.

Equipment: Overhead projector, paper, pencils, flip chart, felt pens, sticky dots (for voting), colored sticky notes.

Unit 3

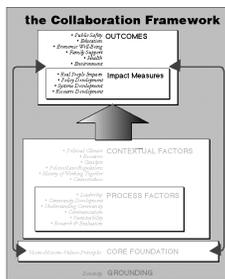
focusing on outcomes

shared vision & outcomes



- **OUTCOMES:** To introduce the group to the Framework's Outcomes and develop an understanding of the relationship between Outcomes and shared vision.
- **DISCUSS:** Outcomes are the conditions that your collaboration wants to achieve. They are as specific and tangible as possible. In order to clarify the identity and fundamental purpose of your collaboration, all members should be able to clearly understand and articulate the outcomes that are expected through your collaborative efforts.

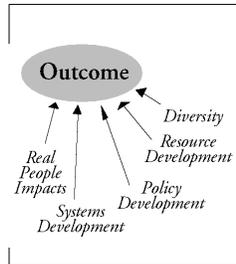
Because outcomes clearly express desired results they are sometimes confused with the vision of your group. But where a vision attempts to describe a picture of the future which you seek to create, outcomes address specific conditions to be achieved. Ideally, outcomes are identified at the same time as a vision, so there are no inconsistencies between the two. See Unit 2 - Initiating and Advancing Collaborations, for ways in which to develop shared vision, and think about combining parts of Unit 2 with parts of this Unit.



The Collaboration Framework has identified six Outcomes: (1) Public Safety, (2) Education, (3) Economic Well-being, (4) Family Support, (5) Health, and (6) the Environment. Within each Outcome, Indicators such as data counts, change in beliefs or behaviors, or new policies can be developed as short term measures of achievement. Your

collaboration may develop all six Outcomes or just the ones that specifically pertain to your goals.

Five Impact Measures have been identified as specific measures related to any Outcome: (1) Real People Impacts, (2) Diversity, (3) Policy Development, (4) Systems Development, and (5) Resource Development. These categories help to articulate results that support sustainable change.



The basis for improving conditions through your collaborative efforts rests upon the group's agreement as to the results you want to achieve. These are the measurable Outcomes for your collaborations and will determine whether or not you are successful.

outcomes and accountability (from "Shifting To Outcome-Based Accountability: A Minimalist Approach For Immediate Use," by Lisbeth Schorr)

- **OUTCOMES:** To introduce participants to the importance of outcomes and some of their risks.
- **DISCUSS:** "The current ferment around using outcomes as a way to assess the success of efforts to improve the lives of children and families has given rise to hope, fear, and confusion." -p2.

OUTCOMES

Opportunities

- *Common*
- *Understanding*
- *Focus on Vision*
- *Collaborative*
- *Produce Results*

Challenges

- *Cause & Effect is Tricky*
- *Difficult to Measure*
- *Skewing Data*

There is hope outcomes can restore citizen's faith that organizations can accomplish their purpose, fear that equity will be neglected or specific agencies will be penalized for not achieving results; and

Unit 3

focusing on outcomes

confusion about how to devise outcomes and reliable ways of measuring results.

Shifting to Outcomes diminishes our need to develop and adhere to bureaucratic rules that more often than not interfere with our ability to respond effectively and flexibly to a wide range of needs. Outcomes can reflect common sense and a common understanding. They help focus attention on our vision and mission rather than prescriptive rules. Questions shift from "Did you do what they told you to do?" to "Did it work?" A different environment begins to actualize in which we respond to the needs of children and families and communities, rather than being constrained by bureaucratic interests. Outcome information is easily assimilated by citizens and assures funders and the public that our efforts and their investments are producing real results. Common outcomes and outcome measures make collaboration easier, and promote a community-wide "culture of responsibility" for children and families.

There are risks, however, which must be reduced by careful consideration and implementation. Not nearly enough is known about the links between cause and effect, and presently we have real difficulty measuring outcomes. Demands for documented outcomes may drive collaborations or programs to emphasize activities which show rapid results and neglect more important efforts harder to quantify or whose results don't show up as quickly.

- EXAMPLE: "A church-sponsored children's choir or a

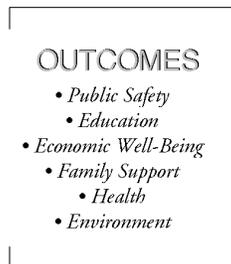
recreation center for teenagers may add to a sense of community, and thereby contribute to improved outcomes, without being able to demonstrate a direct outcome impact." -p6.

- DISCUSS: Schorr recommends the following criteria for assembling a core list of Outcomes:
 - (1) Include outcomes considered important and meaningful by skeptics, not just supporters.
 - (2) Indicators that measure processes and capacities (rather than outcomes) are a significant part of your effort.
 - (3) The distinction between outcome measures and process (or capacity) measures should be clearly maintained.
 - (4) The least ambiguous available measure of an outcome should always be used.
 - (5) Outcomes chosen should be able to respond to known interventions, policies, services, or supports.
 - (6) Whether a given measure is an outcome or something else depends upon the nature of what is being measured (for example, the availability of decent, affordable housing could measure the effects of a housing program, or be an input in a community development program, or a factor in a child development program).

Unit 3

focusing on outcomes

identifying outcomes



- **OUTCOMES:** To assist the group in identifying their Collaboration Outcomes.
- **PREPARATION:** Have the group's vision statement on a flip chart (or overhead transparency) somewhere where everyone can see it easily. It may help if the vision is still in draft form and hasn't yet been "wordsmithed", because as the group identifies its outcomes the vision may shift to some degree. If the vision has been completed assure the group that it can be changed if need be - it's their vision.
- **DISCUSS:** There are probably as many different outcomes as there are people to think about them. But let's take a look at some examples for the six identified categories which may help you begin to focus your vision and develop measurable results for this collaboration:
 - (1) **Public Safety** - Communities are safe, enriching, and participative, with access to essential services.
 - (2) **Education** - Well educated and capable people along with individual, family and social well-being are ends in themselves.
 - (3) **Economic Well-being** - Economic diversity exists which generates desirable jobs and higher incomes for citizens.
 - (4) **Family Support** - Families are competent, self-reliant, skilled and globally knowledgeable. Families are cohesive and nurturing.

(5) Health - A healthy society defined by individuals who are physically and mentally healthy. The harmony of social relations as neighborhoods and places of employment become more heterogeneous.

(6) Environment - Retaining and bettering a quality of life characterized by natural environment, vital communities, accessible services, and responsive political and social institutions.

- **ACTIVITY:** Have the large group select the categories of Outcomes they wish to develop for their collaboration. This may be a couple or all six.

Break into small groups to develop specific outcomes for the collaboration and discuss ramifications and circumstances for each. Each group may take one Outcome category, a few, or all — it is up to you and the group as to what will work best.

Prepare the small groups for the type of report they will need to give back to the large group. Have them select a "singer" and an "artist". The singer will act as spokesperson, and the artist will document the group's recommendations on a flip chart page.

After all small group reports have been given, each participant votes for their priority outcome in each category as a way of prioritizing the collaboration's outcomes. Give each participant a sticky dot for each outcome category and have participants place the dot next to the priority outcome. This is only a way of prioritizing the outcomes, it's up to the group to keep as many outcomes as they deem

Unit 3

focusing on outcomes

necessary.

- **CONSIDERATIONS:** This type of training exercise can be lengthy. Be prepared to offer breaks at different times during the exercise. Be careful small groups not become invested in specific topics - they may not receive votes. There's a danger in taking on too many outcomes early on - encourage limiting the group's first effort to build their confidence through early successes.

developing outcome indicators

Outcome
Indicators
are
Measurable
Standards
for Progress

- **OUTCOMES:** To assist participants in understanding and identifying outcome indicators for the collaboration.
- **DISCUSS:** Indicators are short term measures of achievement with respect to specific Outcomes. Indicators for the examples given in the previous exercise are as follows:
 - (1) **Public Safety** - lower index in crime rate and increased youth participation in out-of-school programs.
 - (2) **Education** - an increase in student skill levels and literacy rates.
 - (3) **Economic Well-being** - an increase in personal income, employment rate increases and contained costs.
 - (4) **Family Support** - civic and occupational participation, family participation in intergenerational

support.

(5) Health - improved live birth rates, lower alcohol and drug rates, and numbers of people receiving prenatal care.

(6) Environment - air quality, land use policy, transportation services and available housing.

- DISCUSS: "Benchmarks" is a term being used widely these days regarding standards for measuring progress and performance in areas such as economic development, school dropout rates, crime, teen pregnancy, adult literacy, children living above the poverty line, and air quality standards. States as diverse as Mississippi, Texas and Oregon are embracing the idea of benchmarks to help shift away from the old-style line-item budgeting measuring inputs or what the state is currently spending on programs, to a budgeting system that measure outcomes or the effect of their spending.

Benchmarks focus on results and as such are getting a lot of attention. The idea is catching on at the local level, too. Municipal governments, private business, and non-profit agencies see benchmarking as a way of measuring whether or not they're reaching their goals.

Remember there are risks, which we discussed in the last section, Developing Outcome Indicators: some activities defy precise gauging and may be long-term in nature. Oftentimes we don't know the precise relationship between our intervention strategies and what is actually going on in the "real"

Unit 3

focusing on outcomes

world (We know how to boost childhood immunization rates, but the connection between our activities and child abuse prevention is not nearly as clear.) Any system based on statistical accountability tempts agency heads to skew their numbers or pick those numbers which are most flattering.

Given these caveats, "benchmarks" are here to stay, and are tied intrinsically to any discussion surrounding outcomes. Try to check the availability of data sources for the area in which your collaboration training is taking place, so that you have some specific examples of easily obtained measurable standards to help steer the collaboration as it develops Outcome Indicators.

- **ACTIVITY:** (1) Break into small groups as the group did for Identifying Outcomes, (2) Incorporate the identification of Indicators with Identifying Outcomes and have the group work on them at the same time, (3) Have participants individually develop indicators for one or more outcomes, write them on colored sticky notes and place them on the flip charts of prioritized Outcomes.

performing a force field analysis on outcome measures (with information from "Intervention and Collaboration", and "The Winning Trainer" by Julius Eittington)

- **OUTCOMES:** To assist participants in understanding and analyzing the strengths and weaknesses of the collaboration in relation to its outcome measures.

- **DISCUSS:** A force field analysis is like a tug-of-war, with forces favoring the change pulling on one side and forces resisting the change pulling on the other. The balance between these forces is never static, as your analysis will suggest. The visual representation of the positive and negative forces at play in relation to a specific goal or outcome is extremely helpful for groups to understand the dynamic balance of relationships surrounding their efforts.

Once an analysis is completed the group can strategize the best ways to reduce the restraining factors and empower the forces favoring their change. It's a tremendously powerful tool. Exploring the worst things that might happen helps collaborations clarify their fears and blockages and often times helps free them up to constructive planning. Understanding the supporting factors within the community can help collaborations move along more quickly and engage willing partners.



- **ACTIVITY:** Using the handout have participants enter a selected Outcome in the top box. Participants list all the forces preventing this Outcome from occurring on the right side of the sheet. These are the restraining forces. On the left side of the sheet participants list all the forces pushing for the change you desire. These are the driving or facilitating forces.

After completing the activity have the participants assess the driving and restraining forces at work and discuss the following questions: (1) Our change strategy is to (a) increase the driving forces or (b)

Unit 3

focusing on outcomes

weaken the restraining forces or (c) do both, (2) Explain the rationale for their strategy, and (3) Explain how they will go about implementing their strategy.

- **OPTIONS:** This activity may be done in dyads, triads, or small groups with great effect. Whichever grouping you choose make sure there is enough time, commitment and energy to develop a full analysis. There's a lot to this exercise, and depending upon the expertise and knowledge of participants, they may need more or less guidance. An important result for this activity is to obtain good examples of driving or facilitating forces because they will form the foundation for the next and final activity in this unit — identifying Impact Measures for each selected Outcome.

Another approach to analyzing strengths and weaknesses is to divide a flip chart into four equal quadrants: (1) Strengths in the upper left, (2) Benefits in the upper right, (3) Vulnerabilities in the lower left, and (4) Dangers in the lower right. Use this grid to understand goals or collaborative issues.

understanding and identifying impact measures

- **OUTCOMES:** To assist the group in understanding and identifying impact measures for their collaboration.
- **DISCUSS:** Impact Measures highlight the results

IMPACT MEASURES

- Real People Impacts
 - Diversity
- Policy Development
- Systems Development
- Resource Development

which support the change for Outcomes. Five categories of impact measures have been identified: (1) Real People Impacts, (2) Diversity, (3) Policy Development, (4) Systems Development, and (5) Resource Development. Definitions and examples for each follow:

(1) Real People Impacts - The behavior change that occurs within individuals, groups, families and communities. This might include sharing gifts or building community capacity. Example: As a result of a collaboration focused on providing parenting education, child care and a parenting support network, 18 two-parent families and 23 single-parent families are now practicing learned parenting skills and behaviors.

(2) Diversity - The degree to which people value the uniqueness that each person brings to the desired outcome. Example: It has become commonplace in a community for community-wide decision making groups to include in a meaningful way a wide cross-section of youth and adults in its membership.

(3) Policy Development - The evidence of policies and procedures that support and sustain on-going efforts. Example: A collaboration of child care providers, consumers, eight agencies, and four community organizations focused on the issue of providing 24 hour child care for infants through 12 years of age. The collaboration led state-legislated policy to provide matching budget for the services. Policy was developed to provide quality care standards for private childcare providers which sup-

Unit 3

focusing on outcomes

ported interdependent relationships with community childcare.

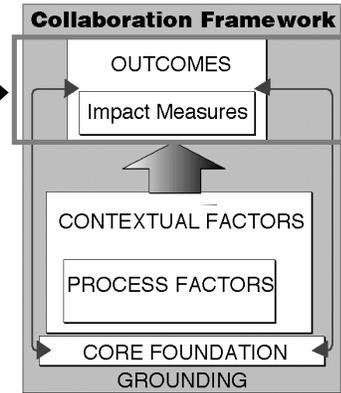
(4) Systems Development - Organizations, agencies and groups of people who work together in a common cause. Example: Teens, parents, schools and agencies joined together to create a new program for teen parents, including mothers and fathers, which provides education, family support, and job skills training.

(5) Resource Development - A range of resources including skills, time, people and money realigned to focus on common issues. Example: In a three county, community-supported effort, a new \$450,000 administration building for private nonprofit social services has been built. A \$120,000 grant with a realignment of existing resources in the community valued at \$320,000 in materials, supplies, and labor was leveraged to complete the structure. The incentive for the community was to provide services with low or no administrative costs to allow more resources to be provided for the people of the community.

- **ACTIVITY:** Using the results of the Force Field Analysis regarding the driving and facilitating forces, have participants identify impact measures for each Outcome.
- **OPTIONS:** Depending upon how much time the group wants to spend on this exercise, you may facilitate a large group exercise or break into small groups again.

guide ^{unit 3}

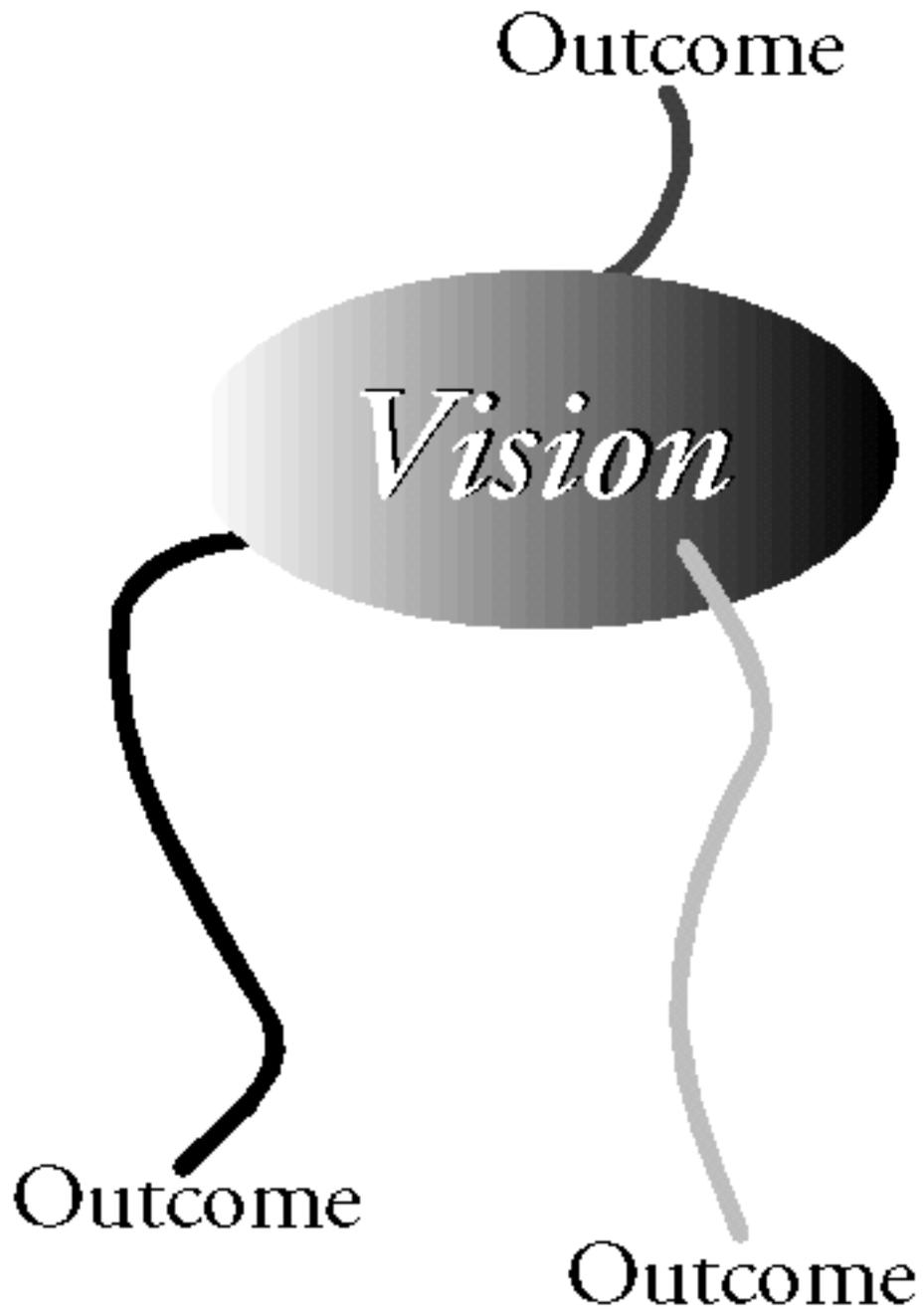
to materials.

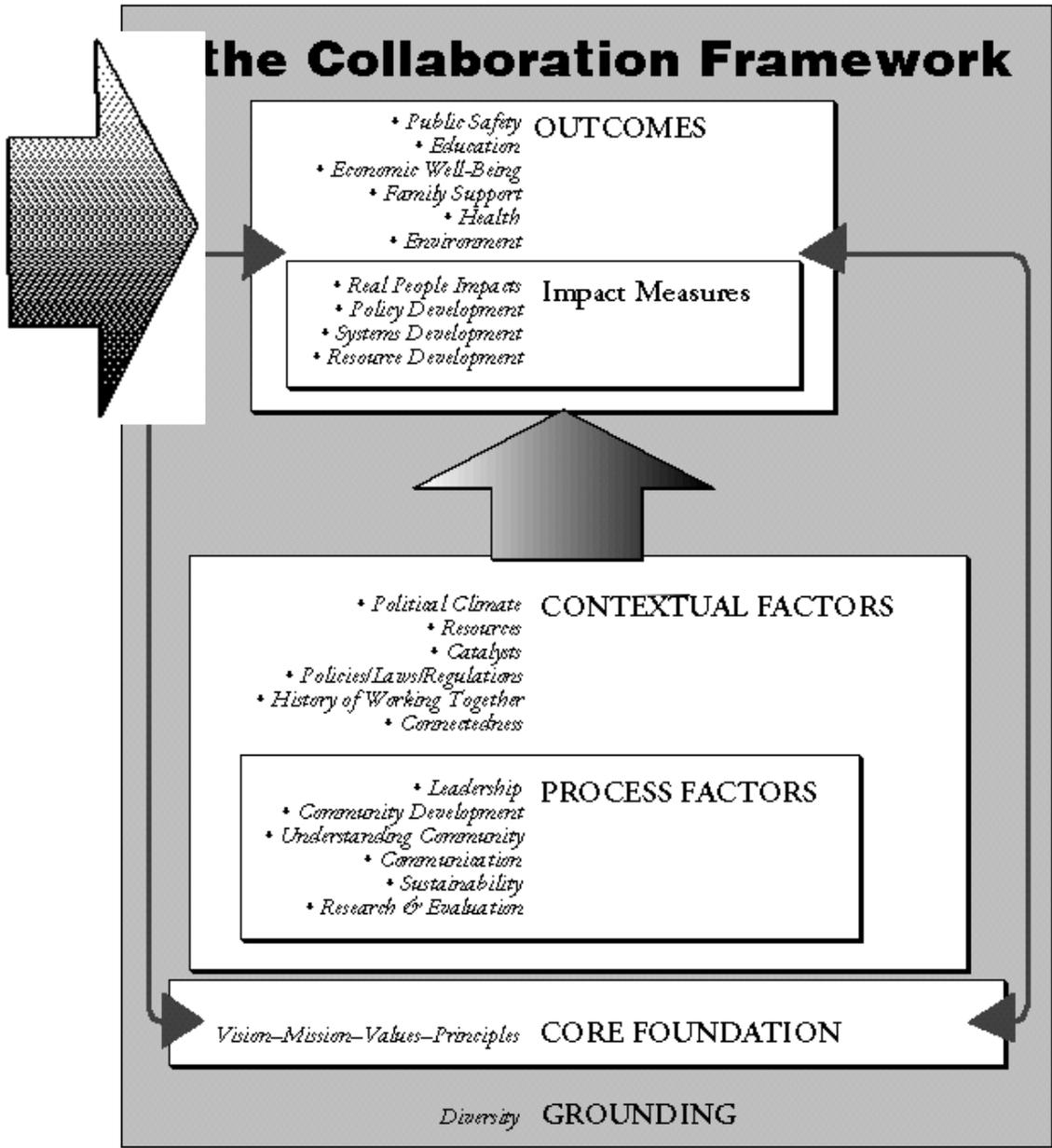


- **Shared Vision & Outcomes.**
vision & outcomes - framework outcome focus - impact measures for outcomes.
- **Outcomes & Accountability.**
outcome opportunities & challenges.
- **Identifying Outcomes.**
Framework outcomes.
- **Developing Outcome Indicators.**
outcome indicators.
- **Performing a Force Field Analysis on Outcome Measures.**
force field analysis.
- **Understanding & Identifying Impact Measures.**
impact measures.

Unit 3

vision & outcomes

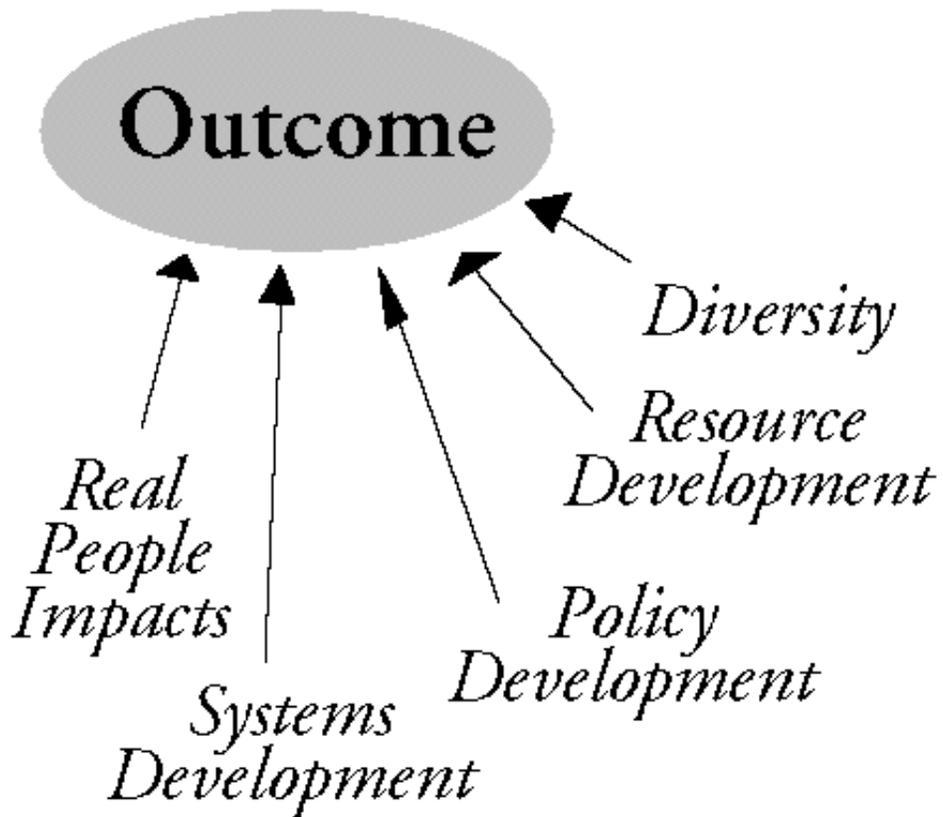




© 1995 the National Network for Collaboration

Unit 3

impact measures for outcomes



OUTCOMES

Opportunities

- *Common Understanding*
- *Focus on Vision*
- *Collaborative*
- *Produce Results*

Challenges

- *Cause & Effect is Tricky*
- *Difficult to Measure*
- *Skewing Data*

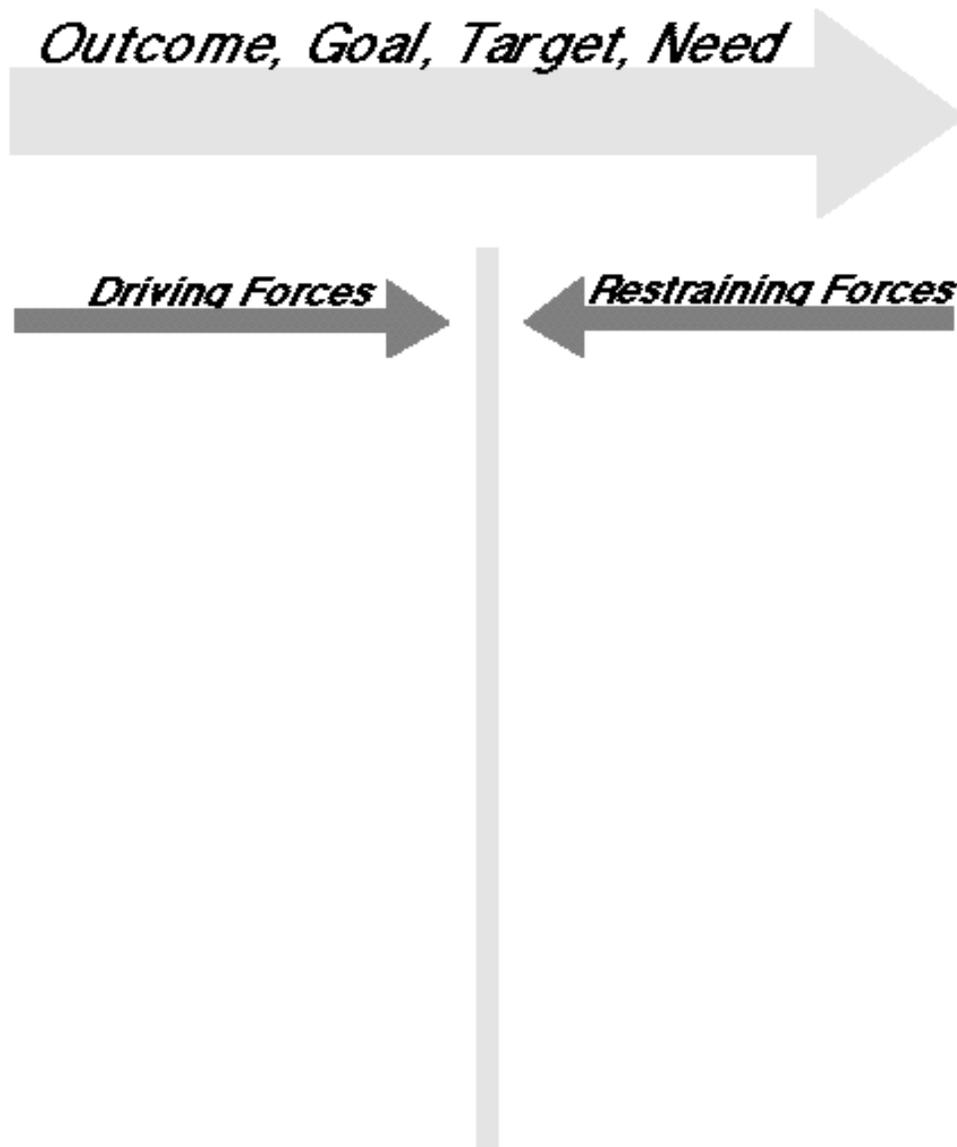
OUTCOMES

- *Public Safety*
- *Education*
- *Economic Well-Being*
 - *Family Support*
 - *Health*
- *Environment*

Outcome Indicators are Measurable Standards for Progress

Unit 3

force field analysis



Note: The length of the line suggests the strength of the force

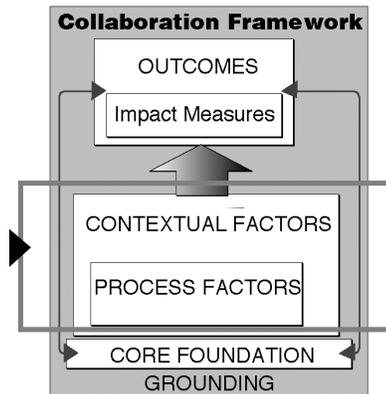
IMPACT MEASURES

- Real People Impacts
 - Diversity
- Policy Development
- Systems Development
- Resource Development

4
defining
& building relationships

unit 4 focus

a look at the third and fourth elements in the Collaboration Framework: process and contextual factors.



- Defining Relationships.
- Self-fulfilling Prophecies.
- The Six Process Factors.
- Community Linkages.
- Merging Community Linkages with the Framework.
- How Things Appear.
- The Six Contextual Factors.
- Organization of Information.
- Analysis of Process & Contextual Factors.

Time: 45 minutes to 4 hours depending upon the number of people, the level of current knowledge, and the manner of facilitation.

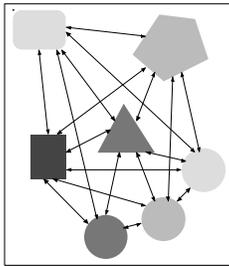
Audience: 10-50 people collaborating together.

Equipment: Overhead projector, paper, pencils, flip chart, felt pens, sticky dots, sticky notes, masking tape or push pins.

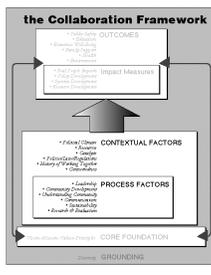
Unit 4

defining & building relationships

defining relationships



- **OUTCOMES:** To assist the group's understanding of the importance of relationships to the Collaboration Framework.
- **DISCUSS:** Relationships are the fundamental building blocks upon which communication, cooperation and collaboration are built. They tie disparate aspects together, into a whole much greater than its singular parts, through trust and shared vision. Relationships begin with one person—you—and encompass all those with whom you connect in an intricate web of mutual understanding. Nothing in our world is truly independent from anything else. In science we observe that no subatomic energies exist without engaging other energy sources. Everything is based upon relationships, yet, we tend to focus upon singular aspects or symptoms, rather than complex relationship-based issues. Changing our system of service delivery from competition to collaboration depends upon a clear understanding of the big picture, and the invisible lines of relationships which tie it all together.



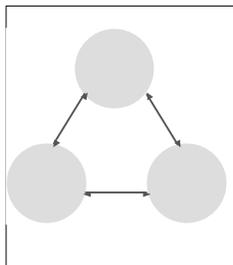
Analyzing the Contextual Factors surrounding your efforts—Connectedness, History of Working Together, Political Climate, Policies/Laws/Regulations, Resources, and Catalysts—can help you prepare for possible obstacles and pitfalls.

Understanding the dynamic interaction between Contextual Factors and the Process Factors—Leadership, Community Development, Under-

standing Community, Communication, Sustainability, and Research and Evaluation—can help you determine the possibility of having a successful collaboration.

Focusing upon these factors helps to reduce fragmentation within the collaboration, and tends to move group conversation from polite discussion to skillful dialog, sound decision making, and action.

Our tendency is to identify problems to fix. We see things and results easier than patterns of interaction. We want to fix things as if they are external events, not dependent upon underlying relationships. In so doing, we are drawn toward quick, superficial fixes which may worsen problems in the long run. By contrast, building relationships takes time and long-term commitment. There may not be tangible "results" for years, because building relationships tends to elude objective tracking measures. It's hard to quantify trust and respect, both of which are needed for successful collaborations, and both of which spring from carefully nurtured relationships.

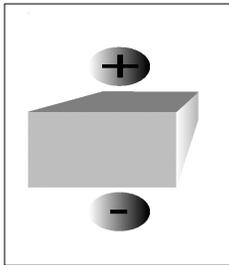


- ACTIVITY: (1) Ask participants to turn to the person next to them and discuss how they feel about this. (2) Break into small groups and using the graphic in the back of this unit, ask participants to identify three positive relationships underlying the current collaboration of which they are each aware. Why are they positive?

Unit 4

defining & building relationships

self-fulfilling prophecies (from *Leadership and the New Science - Learning About Organization from an Orderly Universe*, by Margaret J. Wheatley.)



- **OUTCOMES:** To increase participants understanding about our expectations, and how our perceptions of others affects how we interact in a collaboration.
- **DISCUSS:** "Schroedinger's cat is a classic thought problem in quantum physics. Physicist Erwin Schroedinger constructed the problem in 1935 to illustrate that in the quantum world nothing is real. We cannot know anything about what is happening to something if we are not looking at it, and, stranger yet, nothing has happened to it until we observe it... The problem of the cat has not yet been resolved, but it is constructed as follows: A live cat is placed in a box. The box has solid walls, so no one outside the box can see into it. This is a crucial factor, since the problem centers on the role of the observer in evoking reality. A device will trigger the release of either poison or food; the probability of either occurrence is 50/50. Time passes. The trigger goes off. The cat meets its fate. Or does it? Just as an electron is both a wave and a particle until our observation causes it to collapse as either a particle or wave, Schroedinger argues that the cat is both alive and dead until the moment we observe it. Inside the box, unobserved, the cat exists only as a probability wave. It is possible to calculate mathematically (as a Schroedinger wave function) all of the cat's possible states. But it is impossible to say that the cat is living or dead until we observe it. It is

the act of observation that determines the collapse of the cat's wave function and makes it either dead or alive. Before we peer in, the cat exists as probabilities. Our nosiness determines its fate." -p60.

Not all things that are important can be observed and measured. What is our relationship to the cat? Why is the cat important?

Try to understand Schroedinger's cat in light of self-fulfilling prophecies and the impact they have on the people with whom we interact. This is a concept that has been discussed at length in management theory and education. If a teacher believes her student to be gifted, it is a well known fact that that particular student will excel. If a manager believes a new employee to be especially smart, she will hear words of wisdom every time the new hire speaks. If we think someone is stupid or gifted, they appear stupid or gifted to us. Our beliefs about others color their actions in our eyes and it affects the way we interact. If we're in a position of authority, we may give choice assignments to an employee, expecting them to succeed, and observing them in a way that confirms our own beliefs.

Our powers of observation can bring Schroedinger's cat to life. Our willingness to let others care for the cat may keep it alive, too. Think about this as it relates to diversity and your world view. Where do you stand? What experiences do you bring to the observation? The lenses we see through are different for different people.

Unit 4

defining & building relationships

- **ACTIVITY:** In small groups have participants share their feelings about the information that has been presented. How does this affect the way we work collaboratively? What beliefs do we have that get in the way of working together effectively? How can we best surface our beliefs? Clarify our beliefs? Reach a new understanding about them?

the 6 process factors

- **OUTCOMES:** To have participants gain knowledge and understanding about the Collaboration Framework's six Process Factors.
- **ACTIVITY:** A series of questions designed to help clarify participants understanding about Process Factors within their community are developed in the following paragraphs. Answers can be discussed in large or small groups. Results from this activity can tie in with the Spider Web Analysis at the end of this unit – think about how that may best work.

(1) Have participants write down their ideas regarding each of the six factors and share them with the group, or (2) Divide participants into six small groups concentrating on one factor each, discuss among themselves and report back to the full group, or (3) Use a large flip chart poster to accommodate all responses to visualize an overview of the group.

PROCESS FACTORS

- *Leadership*
- *Community Development*
- *Understanding Community*
- *Communication*
- *Sustainability*
- *Research & Evaluation*

- **DISCUSS:** Process Factors focus on the "how to" aspect of the collaboration and cover specific skills and components which are necessary to build

effective working relationships. The Framework has identified six major factors influencing the process itself: (1) Understanding the Community, (2) Community Development, (3) Leadership, (4) Communication, (5) Research and Evaluation, and (6) Sustainability. Each factor covers a broad range of skills and/or tasks which impact the collaborative process.

(1) Understanding the Community: How well do you know your community? Its people? Its values? Its habits? The more you know now, at the beginning of your collaboration, the better off you'll be later. It's important to gain a sense of your community's self-image, where the power rests, and who has gifts to share. Who will your potential audiences be? Your potential collaborators? Where are the potential turf battles? An understanding of your community will bring answers to these questions. It will allow you to recognize the diversity of strengths and weaknesses that will influence the success of your collaboration.

(2) Community Development: How will your collaboration mobilize communities and build upon community strengths? How will your efforts enable trust to be built with community citizens? The collaboration defines its own vision, mission, values, principles and outcomes within the larger context of the community's attitudes, norms, beliefs and values. Your collaborative efforts must build upon the positive environment within the community, overcome potential barriers, and mobilize citizens to

Unit 4

defining & building relationships

change things for the better.

(3) Leadership: For purposes of collaboration leaders are those who can impact change within their community, group and/or organization. A key responsibility is to assure diverse and representative members have been brought to the collaborative effort. Potentially impacted groups and individuals should be contacted. Leadership should facilitate team building, help define roles and responsibilities and group protocols, capitalize upon diversity, and focus upon group and individual strengths and assets. Who are the leaders for your collaboration? Who can best facilitate defining roles? Appreciating diversity? Bringing representative community members together?

(4) Communication: Clarity and openness of communication is essential, and norms for communicating must be established that are acceptable to all current and potential members. Respect for diversity is important. A process for communicating between meetings must be established, as well as how the collaboration will communicate with the broader community. Both formal and informal communicative paths should be explored. How will you establish norms for communication acceptable to all current and potential members? Who will be responsible for taking meeting minutes? For communicating between meetings?

(5) Research and Evaluation: Your effort should review examples of other successful collaborative models, best practices, and approaches that may

benefit your efforts. What data do you need in order to establish objective benchmarks for future success? How will you analyze and evaluate your efforts? Consider these questions now, because the primary objective of your collaboration will be to meet its desired outcomes and without an evaluative method built in, you won't know whether or not your efforts are successful.

(6) **Sustainability:** Plan now for ways in which to assure that your membership, resources, and strategic program planning will be strong for both the short and long-term. What terms will members have, and how will they be replaced? Will you have formal agreements of operation? How will you assure that appropriate levels of money, time and people will be available to meet the collaboration's efforts?

community linkages

- **OUTCOMES:** To develop participant's understanding of community relationships and community linkages.
- **DISCUSS:** One of the first steps in defining existing and potential relationships is developing an understanding of the linkages within your community. They generally fall into five levels—Networking, Cooperation or Alliance, Coordination or Partnership, Coalition, and Collaboration. Each level can be evaluated in terms of its own purpose, structure, and process. Developing a matrix of "community

Level	Purpose	Structure	Process
Networking	Exchange and sharing of information and resources; identify common interests and needs; establish a common base of support	Non-formal structure; loose structure and flexible membership; primary link among members	One-to-one meetings; group meetings; conferences; committees
Cooperation or Alliance	Members work and share resources and information; share information and resources; share information and resources	General form of organization; formal structure; formal membership; formal link among members	Facilitated meetings; working groups; committees; formal link among members
Coordination or Partnership	Share resources to achieve common goals; share information and resources; share information and resources	Central role of coordination; formal structure; formal membership; formal link among members	Agreements; formal link among members; formal link among members
Coalition	Share resources and information; share information and resources; share information and resources	Formal structure; formal membership; formal link among members	Formal meetings; formal link among members; formal link among members
Collaboration	Assess and share resources; share information and resources; share information and resources	Formal structure; formal membership; formal link among members	Formal meetings; formal link among members; formal link among members

Unit 4

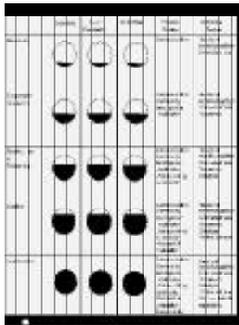
defining & building relationships

linkages" provides focus and clarity as your collaboration supports new relationships. By recognizing the interrelatedness of relationships within your collaboration you will strengthen your infrastructure and help your efforts to be successful.

- **ACTIVITY:** Using the chart of community linkages have participants identify current linkages within their community. This may best be done in small teams analyzing and recomposing to present back to the large group. Have the group reach consensus on the linkage(s) they are now in, and where they want to be in a specific time period. These results tie directly to the next section, Merging Community Linkages with the Framework.

What examples of Networking are occurring in your communities now? Of Cooperation or Alliance? Of Coordination or Partnership? Of Coalition? Of Collaboration?

merging community linkages with the Framework



- **OUTCOMES:** To build a workplan correlating the group's linkages with the Framework.
- **DISCUSS:** Oftentimes a visual representation of our collaborative efforts helps us understand where we are now, and where we hope to be. Now that we've identified current linkages (and future linkages) we can relate these linkages with all five aspects of the Collaboration Framework: (1) Grounding, (2) Core

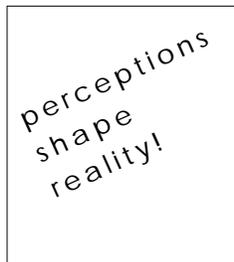
Foundation, (3) Process Factors, (4) Contextual Factors, and (5) Outcomes.

- **ACTIVITY:** Using the chart, Merging Linkages with the Framework, have participants identify the parts of the Framework and their levels of influence on the different linkages. What does this mean for the group's collaborative effort now, and in the future?

On the chart, Grounding refers to how extensive the diversity of the people are that are involved; Core Foundation relates to how well the vision, mission, etc. have been designed and established by all members; and Outcomes correspond to how well clearly defined outcomes and impacts are owned by the whole group. Process and Contextual Factors are those factors that influence the linkage the most.

how things appear (from Leadership and the New Science - Learning About Organization form an Orderly Universe, by Margaret J. Wheatley.)

- **OUTCOMES:** To develop an understanding of how our perceptions of people and events shape our realities.
- **DISCUSS:** Physicists such as John Archibald Wheeler believe in a participatory universe, in which the act of looking for information evokes the information we go looking for. The double-slit experiment in which electrons behave as if they know we're watching them—patterning as a wave with two slits open or as a particle with one slit open, and acting



perceptions
shape
reality!

Unit 4

defining & building relationships

differently if the recording apparatus is on or off—has become the basic question upon which quantum physics rests. The correlation in this for collaborators is the mystery of observation and the role of the observer, and how our perceptions of people and events shape our realities.

"It is difficult to develop a new sensitivity to the fact that no form of measurement is neutral. Physicists call this awareness contextualism, a sensitivity to the interdependency between how things appear and the environment which causes them to appear. Contextualism raises some very important questions. How can we trust that we get the information we need to make intelligent decisions? How can we know what is the right information to look for?" - p63.

"To live only for some future goal is shallow. It's the sides of the mountain that sustain life, not the top."

- Robert M. Pirsig

What this suggests is that we should be less worried about the data we collect and organize and the information we sift in hopes of finding the right answer, and more concerned with the nature of our participatory experience together. Bringing all participants to the table, enjoying the diverse richness of many different interpretations and observations, generating information, thinking about who we are and what we want to be together—that's collaboration.

It's also the best way to build ownership! People support what they create. Quantum physics suggests that it's impossible for any idea, plan, strategy or collaboration to be successful if the participants don't personally interact with it! "Reality emerges

nothing &
no one is
independent in
our
relationship
rich universe

from our process of observation, from decisions we the observers make about what we will see. It does not exist independent of those activities. Therefore, we cannot talk people into reality because there truly is no reality to describe if they haven't been there. People can only become aware of the reality of the plan by interacting with it, by creating different possibilities through their personal processes of observation."

"A quantum universe is enacted only in an environment rich in relationships. Nothing happens in the quantum world without something encountering something else. Nothing is independent of the relationships that occur. I am constantly creating the world—evoking it, not discovering it—as I participate in all its many interactions. This is a world of process, not a world of things." -p68.

- **ACTIVITY:** Ask participants to turn to the person next to them and discuss how they feel about this. Or break into small groups for a more in-depth discussion if time allows: Have participants (1) Observe - "What do you see?", (2) Reflect - "How are you responding?", (3) Interpret - "What does this mean?", and (4) Decide - "What will you do?".

How does this knowledge affect us? How might our collaboration affect some one or some thing that we haven't discussed? How have our perceptions colored the way we've done business in the past? Currently?

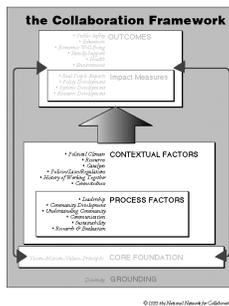
Unit 4

defining & building relationships

the 6 contextual factors

- **OUTCOMES:** To develop an understanding of what Contextual Factors are, and how they impact the collaboration.
- **ACTIVITY:** Questions designed to help clarify participants understanding about the six Contextual Factors are posed in the following paragraphs. Use these questions for the large group, individually or in small groups as you see fit. The results to this activity also tie in with the Spider Web Analysis at the end of this unit.

(1) Have participants write their ideas (the more specific the better) on sticky notes and place them on flip charts for each factor, or (2) Divide participants into small groups focusing upon one or two factors, and then have them report back to the full group, or (3) Record answers on a large flip chart poster with the large group.



- **DISCUSS:** Contextual Factors are characteristics of the physical and structural setting of the community, the resources available within the community, and the social and political contexts related to the effectiveness of a collaboration. The relationship between Contextual Factors and Process Factors is reciprocal and mutually influential. The six identified factors are (1) Connectedness, (2) History of Working Together, (3) Political Climate, (4) Policies/Laws/Regulations, (5) Resources, and (6) Catalysts. Respect for diversity is a key issue and the capacity of the community to value the represented

voices influences each factor.

(1) Connectedness: How do people know each other and how do they connect with one another? What are the linkages between individuals, groups, and communities? What formal and informal networks of communication support or hinder these linkages? Successful collaborations involve individuals, groups, organizations and communities that are well connected and have established informal and formal communication networks at all levels of connectedness.

(2) History of Working Together/Customs: How has the community worked cooperatively or collaboratively in the past? How does the community solve problems? When the community worked on difficult issues in the past, how did it welcome diversity, embrace creative solutions, and develop community-wide strategies? How competitive is/was the climate? Collaborations tend to succeed in environments oriented toward cooperation, not competition.

(3) Political Climate: This entails the history and environment surrounding power and decision making. What politicians will support your plans? Who will resist? Are political leaders open to dialogue around new ideas? What leaders, systems within the community, and networks of people make up the communities political climate? How can you best influence decision makers and gain their support and endorsement?

Unit 4

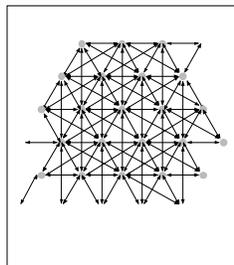
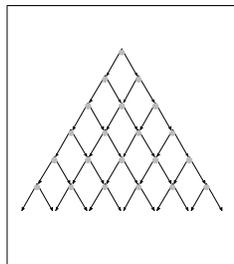
defining & building relationships

(4) Policies/Laws/Regulations: These represent the concepts and activities used to solve problems. This includes laws and policies within the community as a whole, and the policies, job descriptions, and agency expectations of individual collaborator's organizations. What supportive policies, laws, and regulations are in place? What resistive ones?

(5) Resources: There are four types of capital within collaborations—Environmental, In-kind, Financial, and Human. Is there an environment that supports connectedness, a history of working together, a supportive political climate, and laws and policies that encourage cooperative behavior? What In-kind contributions from collaborators are there (meeting rooms, supplies, computers, etc.)? Is there any financial or monetary resources for the collaboration to draw upon? And most important for the continued success of the collaboration, what investment will there be of people's time, expertise and energy?

(6) Catalysts: Two types of catalysts are needed. The first catalyst includes the existing problem(s) or reason(s) for the collaboration to exist. Do the community and/or potential collaboration members view the issue as requiring a comprehensive response? The second type of catalyst needed is a convener, or person who calls the initial meeting. Who is your convener? Is s/he respected and viewed as a legitimate player? Does s/he have good organizational and interpersonal skills? Does s/he have passion and fairness?

organization of information (from Leadership and the New Science by Margaret J. Wheatley.)



- **OUTCOMES:** To bring the group to an understanding about how they'll organize the information they collect
- **DISCUSS:** "Newer theories of the brain describe information as widely distributed, not necessarily limited to specific neuron sites." -p111. Research finds a fluid pattern of memory and electrical activity that arises from relationships within the entire neural network. The image is information transmitted simultaneously in all directions rather than through a strict neural pathway. The implications, however, are clear: hierarchical channels restrict communication and dampen relationships. As we move toward more collaborative models of behavior we must shift the way we organize and disseminate our information to include as many people in as open a manner as possible.

"The literature on organizational innovation is rich in lessons that apply here; and, not surprisingly, it describes processes that are also prevalent in the natural universe. Innovation is fostered by information gathered from new connections; from insights gained by journeys into other disciplines or places; from active, collegial networks and fluid, open boundaries. Innovation arises from ongoing circles of exchange, where information is not just accumulated or stored, but created. " -p113.

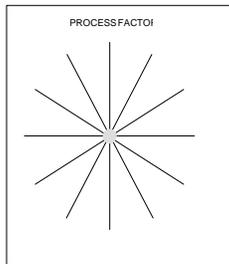
- **ACTIVITY:** Have participants interact with one

Unit 4

defining & building relationships

another, sharing their ideas and observations about the discussion points. How will you create an environment that supports diverse opinions for your collaboration? How will you structure the way you organize and discuss information? How will you nurture individual and group relationships?

analysis of process & contextual factors



- **OUTCOMES:** To identify the strengths and weaknesses of each factor in its relation to the collaboration in a visual manner easily read by all group members.
- **DISCUSS:** A Spider Web analysis can help measure the positive and negative influences on both process and contextual factors for your collaboration. In a very visual way, participants can obtain an easily identified map of where they'll need to devote their time, energy and expertise. The responses to the questions posed earlier in this unit regarding Process and Contextual Factors allow participants to quickly and easily plot each factor along its line.
- **ACTIVITY:** (1) Go through the factors with the full group, getting a sense of where the collaboration is on each factor's continuum and plotting its point on a flip chart or an acetate overhead, (2) Divide the group into two and have participants in one group plot Context Factors, and the other group plot Process Factors, then report back to each other, and (3) Develop each factor's measure at the same

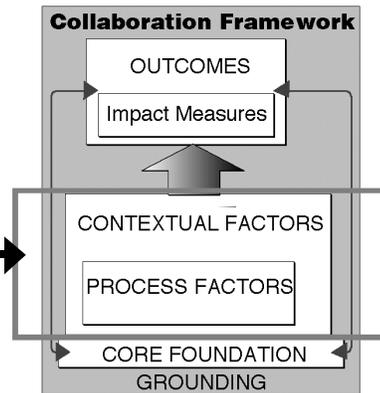
time it is first discussed in this unit, as an adjunct or replacement to the questions.

FOR ALL ACTIVITY OPTIONS: after each line is plotted connect the dots for a visual representation of the spider web's outline, clearly showing the strengths and weaknesses of the present collaboration in regards to all Process and Contextual Factors. The closer the factor is to a positive influence, the further out from the center the point will be located.

guide

unit 4

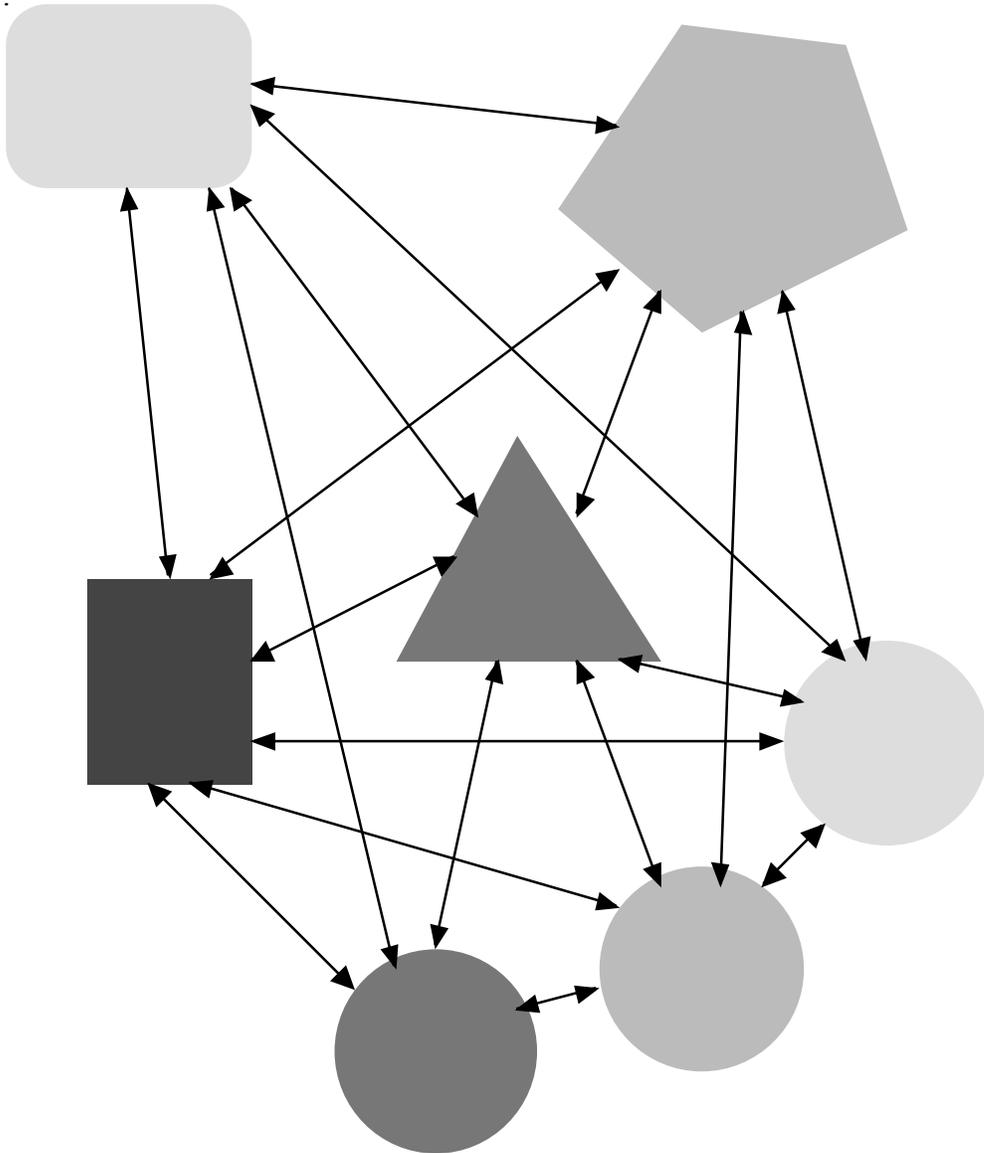
to materials

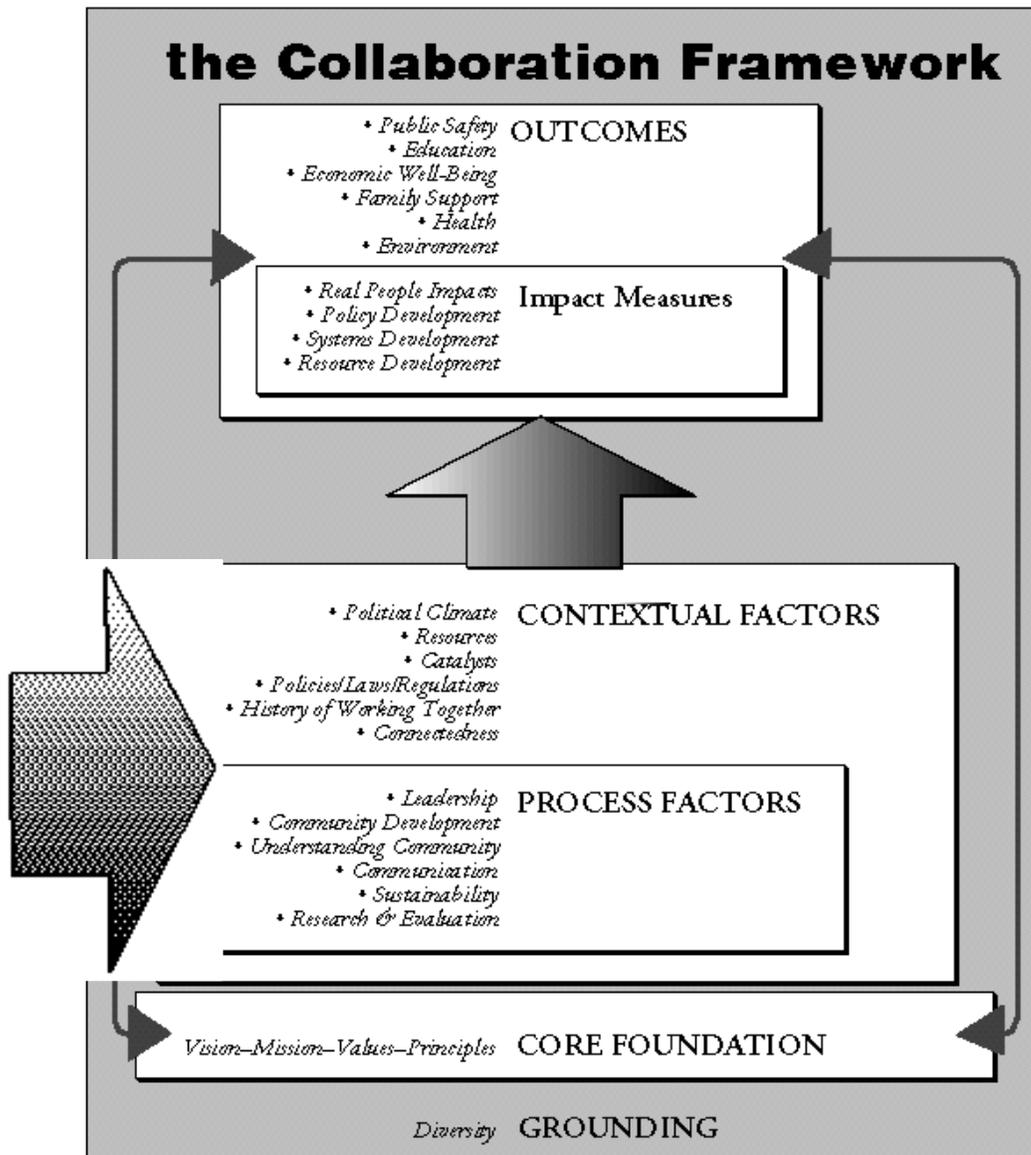


- **Defining Relationships.**
relationships - process & contextual factors - define relationships.
- **Self-fulfilling Prophecies.**
schroedinger's box.
- **The Six Process Factors.**
process factors.
- **Community Linkages.**
community linkages: choices & decisions.
- **Merging Community Linkages With The Framework.**
community linkages & the framework.
- **How Things Appear.**
perceptions & reality - sides of the mountain - no independence.
- **The Six Contextual Factors.**
contextual factors.
- **Organization of Information.**
hierarchical information - simultaneous information.
- **Analysis of Process & Contextual Factors.**
spiderweb analysis.

Unit 4

relationships

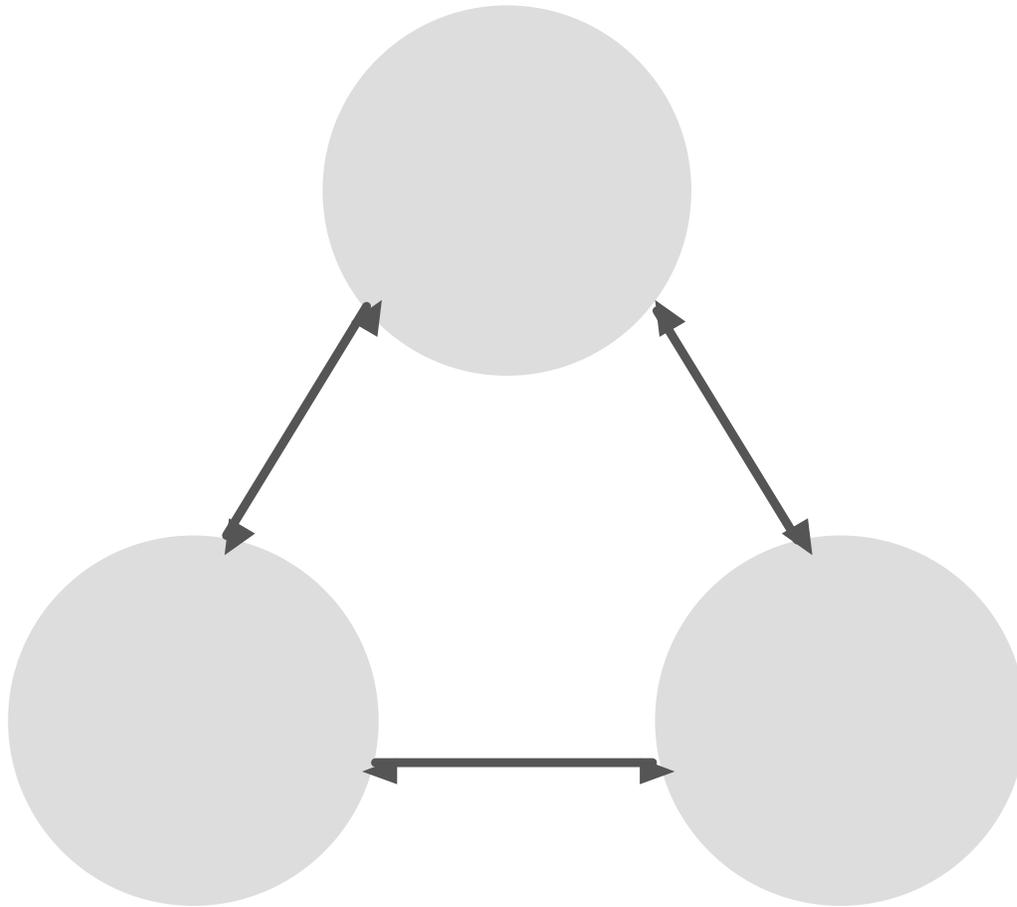




© 1995 the National Network for Collaboration

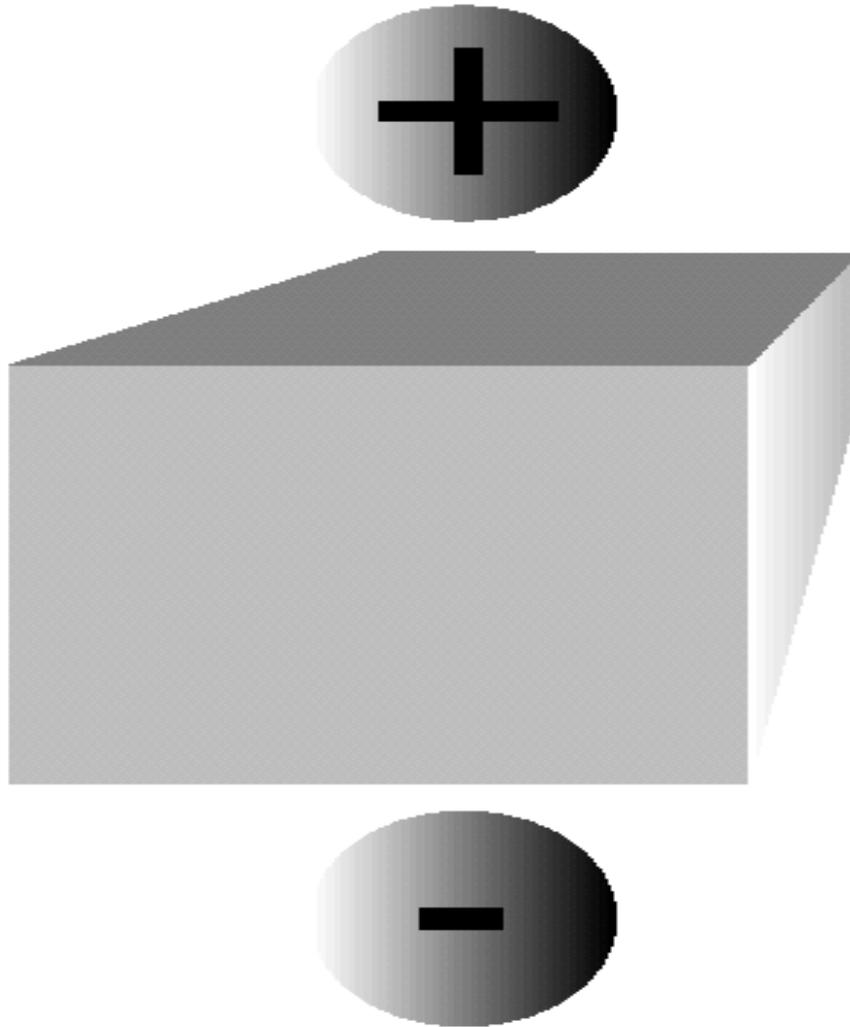
Unit 4

define 3 relationships



Unit 4

schroedinger's box



PROCESS FACTORS

- *Leadership*
- *Community Development*
- *Understanding Community*
 - *Communication*
 - *Sustainability*
- *Research & Evaluation*

Unit 4

community linkages - choices & decisions

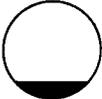
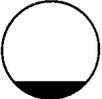
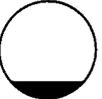
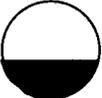
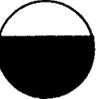
Levels	Purpose	Structure	Process
Networking	Dialogue and common understanding Clearinghouse for information Create base of support	Non-hierarchical Loose / flexible link Roles loosely defined Community action is primary link among members	Low key leadership Minimal decision making Little conflict Informal communication
Cooperation or Alliance	Match needs and provide coordination Limit duplication of services Ensure tasks are done	Central body of people as communication hub Semi-formal links Roles somewhat defined Links advisory Group leverages / raises money	Facilitative leaders Complex decision making Some conflict Formal communications within the central group
Coordination or Partnership	Share resources to address common issues Merge resource base to create something new	Central body of people consists of decision makers Roles defined Links formalized Group develops new resources and joint budget	Autonomous leadership but focus is on issue Group decision making in central and subgroups Communication is frequent and clear
Coalition	Share ideas and be willing to pull resources from existing systems Develop commitment for a minimum of three years	All members involved in decision making Roles and time defined Links formalized with written agreements Group develops new resources and joint budget	Shared leadership Decision making formal with all members Communication is common and prioritized
Collaboration	Accomplish shared vision and impact benchmarks Build interdependent system to address issues and opportunities	Consensus used in shared decision making Roles, time and evaluation formalized Links are formal and written in work assignments	Leadership high, trust level high, productivity high Ideas and decisions equally shared Highly developed communication

© Teresa Hogue, OCCL, 1995

Unit 4

community linkages & the Framework

Merging Community Linkages with the Collaboration Framework

	Grounding	Core Foundation	Outcomes	Process Factors	Contextual Factors
Networking				<ul style="list-style-type: none"> • Communication 	<ul style="list-style-type: none"> • History of working together • Connectedness
Cooperation or Alliance				<ul style="list-style-type: none"> • Communication • Community development • Leadership 	<ul style="list-style-type: none"> • History of working together • Connectedness • Resources
Coordination or Partnership				<ul style="list-style-type: none"> • Communication • Community development • Leadership • Understanding community 	<ul style="list-style-type: none"> • History of working together • Connectedness • Resources • Catalysts
Coalition				<ul style="list-style-type: none"> • Communication • Community development • Leadership • Understanding community • Research & Evaluation 	<ul style="list-style-type: none"> • History of working together • Connectedness • Resources • Catalysts • Political climate
Collaboration				<ul style="list-style-type: none"> • Communication • Community development • Leadership • Understanding community • Research & Evaluation • Sustainability 	<ul style="list-style-type: none"> • History of working together • Connectedness • Resources • Catalysts • Political climate • Policies, laws & regulations

○ = utilized to the least extent ● = utilized to the greatest extent

© Teresa Hogue, OCCL, 1995

perceptions
shape
reality!

Unit 4

the sides of the mountain...

"To live only for some future goal is shallow. It's the sides of the mountain that sustain life, not the top."

- Robert M. Pirsig

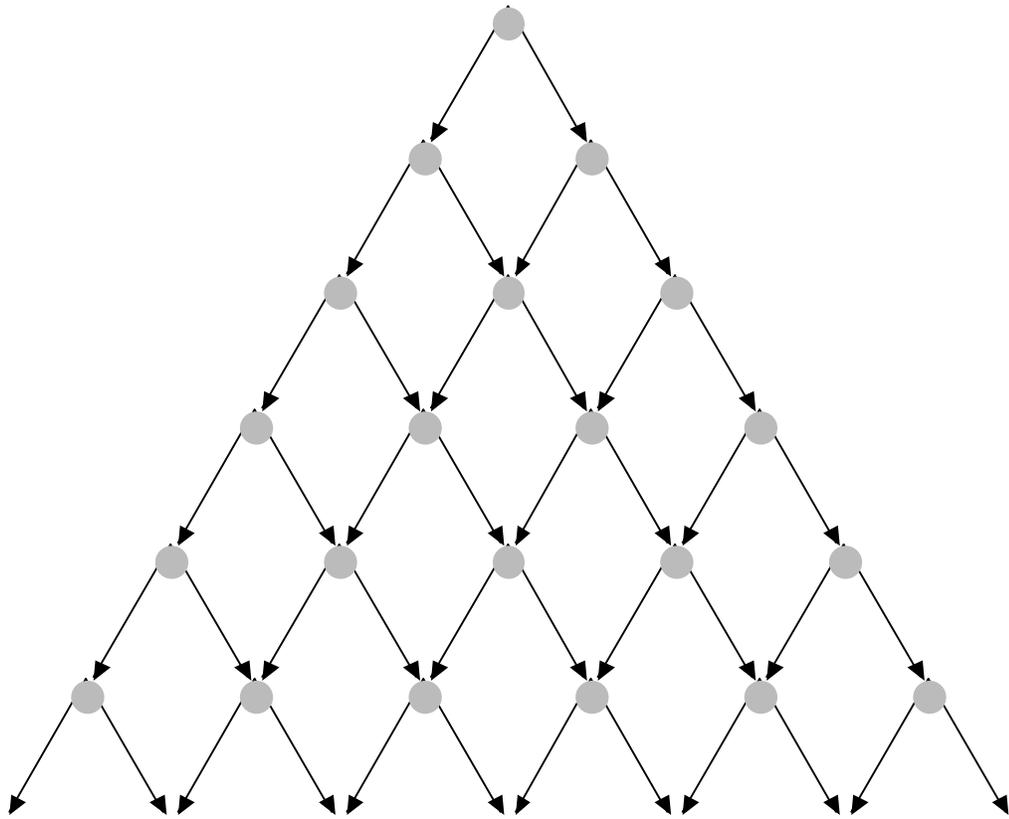
nothing &
no one is
independent
in our
relationship
rich universe

CONTEXTUAL FACTORS

- *Political Climate*
 - *Resources*
 - *Catalysts*
- *Policies/Laws/Regulations*
- *History of Working Together*
 - *Connectedness*

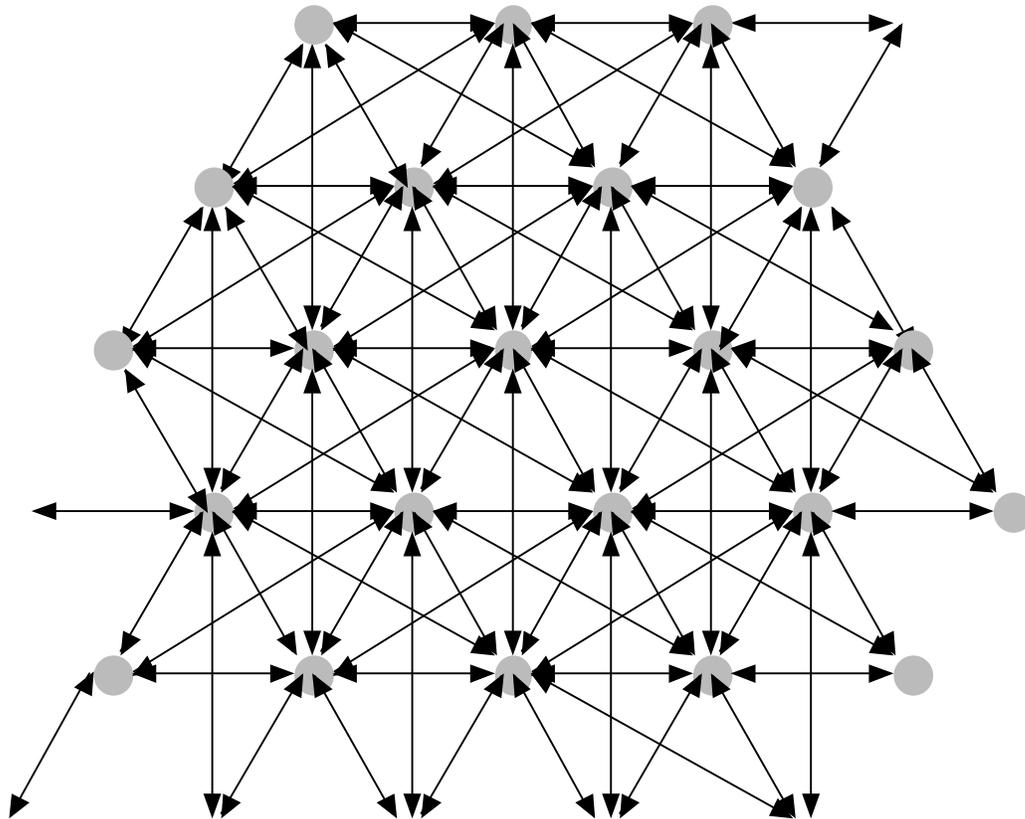
Unit 4

hierarchical information

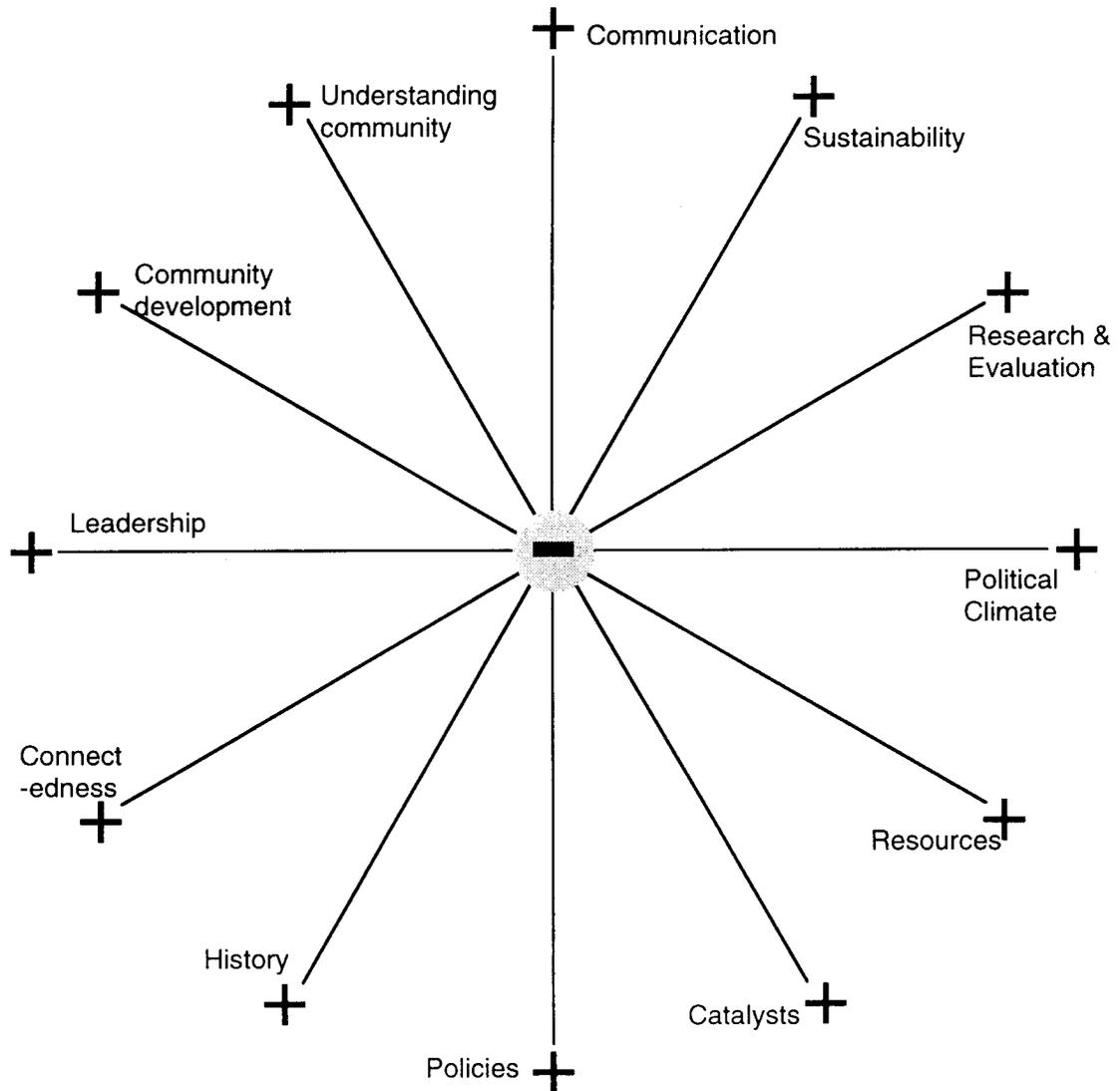


Unit 4

simultaneous information



PROCESS FACTORS

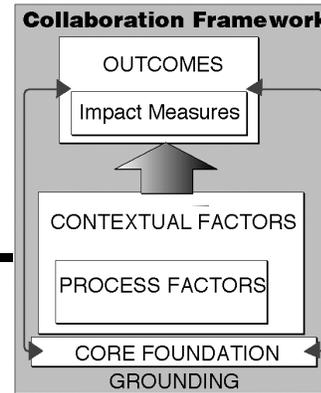


CONTEXTUAL FACTORS

5
insuring successful
collaborations

unit 5 focus

a look at how the Framework
can insure succesful
collaborations.



- Taking Measure Along the Way.
- Systems Thinking.
- Understanding Collaborative Systems.
- Evaluating Your Efforts.
- Hunting for Root Causes.
- Checklist for Working Together.

Time: 45 minutes to 3 hours depending upon the number of people, the level of current knowledge, and the manner of facilitation.

Audience: 10-50 people collaborating or examining a collaborative process together.

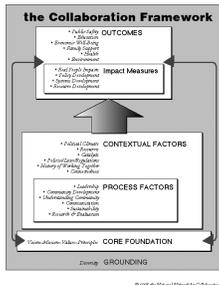
Equipment: Overhead projector, paper, pencils, flip chart, felt pens, sticky dots (for voting), colored sticky notes.

Unit 5

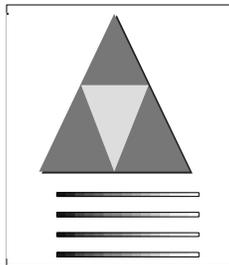
insuring successful collaborations

taking measure along the way

- **OUTCOMES:** To assist the group in being able to evaluate its efforts and better understand its strengths and weaknesses.
- **DISCUSS:** The Framework itself, is a good diagnostic tool for identifying problems within a collaboration. By using it as a template, the existing collaboration's group dynamics can be seen clearly. One or more elements may be causing underlying problems with the group, and the Framework can often times point these out easily. Use it at any time during a collaborative effort to better understand how effectively the group is meeting its goals.



A highly functioning collaborative effort, at all times, focuses upon what condition(s) it seeks to achieve and how it goes about achieving that condition(s). If it doesn't feel right, if it's not going fast enough, or if it's not going smoothly enough, it may be time to take the measure of your collaboration.



- **ACTIVITY:** This exercise combines the A-B-C model of change we used in the 2nd Unit, with an "inverted triangle of vision" to get a sense of where the collaboration is now, and where it wants to be. Four factors are considered: Leadership, Strategies, Commitment, and Vision. Each is scored along a continuum by group members, with an "A" for where the collaboration seems to be right now, and with a "B" for where the group wants to be in the future.

(1) Define the four factors with the group. Ask individuals to respond to the following question, rating the collaboration on separate continuum lines for the four factors: "How strong do you think we are?" Place an "A" for current conditions on top of each line and a "B" for future conditions underneath each line, with arrows pointing toward the anticipated direction of movement.

(2) Use the process factors from Unit 3 to rate the collaboration. The group should be able to define its own questions to best meet its goals, but questions identified in Unit 3 are a good starting point. Use the same lines of continuum in the back of this unit. Think about using the contextual factors in Unit 3 the same way.

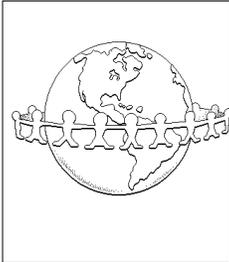
Look for system issues rather than individual ones. Avoid blaming people. Use "I" statements: When you ____, I feel ____. Assure a safe environment for all participants. Facilitate conversation as a dialogue, in which members brainstorm openly about issues, rather than jumping to conclusions and developing strategies or solutions right away.

systems thinking (from "What You Can Expect ... As You Practice Systems Thinking" by Charlotte Robert and Jennifer Kemeny in The Fifth Discipline Fieldbook)

- **OUTCOMES:** To develop the groups understanding of systems, and to better understand the benefits of thinking from a systems viewpoint.

Unit 5

insuring successful collaborations



- DISCUSS: At its broadest level systems thinking is about looking at the interrelatedness of forces and seeing them as part of a common process. A system is actually a number of elements that "hang together" because they continually affect each other over time and work toward a common purpose. The word comes from the Greek verb *sunistanai* - "to cause to stand together", and as this suggests, the structure of a system includes the quality of perception with which the observer causes it to stand together. Systems are communities, families, teams, biological organisms, the atmosphere, factories, chemical reactions, politics, collaborations and organizations of all kinds.

One form of systems thinking is becoming particularly valuable to help achieve positive organizational change. It is "system dynamics" and was developed by Professor Jay Forrester and his colleagues at Massachusetts Institute of Technology. He uses links and loops, archetypes, and other models to understand complex feedback processes and problematic patterns of behavior within organizational systems.

"There are no right answers. Because system dynamics illustrates the interdependencies within the current system, there is never a single right answer to any question. Instead, the discipline reveals a variety of potential actions you may take... Each of these actions will produce some desired results and (almost certainly) some unintended consequences somewhere else in the system. The art of systems thinking includes learning to recognize the ramifica-

tions and trade-offs of the action you choose... By its nature, systems thinking points out interdependencies and the need for collaboration. Thus, as the team continues its work, it may become necessary to bring in new members—particularly people who were once seen as enemies, but are now obviously players on the same side in the same game." p91-92.

understanding collaborative systems (adapted from Exploring Your Own Story by Michael Goodman, Rick Karash in The Fifth Discipline Fieldbook by Peter Senge)

- **OUTCOMES:** To assist the group in discovering a coherent story from interrelationships of seemingly random events. This can be a powerful learning process for teams.

How did we contribute to or create the circumstances we face now?

DISCUSS: This question lies at the heart of systems story telling: "How did we (through our internal thinking, our processes, our practices, and our procedures) contribute to or create the circumstances (good and bad) we face now?" -p105. Significant answers tend to come only after sustained deliberation.

The first step is to identify the problem. It should be an issue that's really important to the collaboration, not just an exercise. Focus on a situation which has troubled you repeatedly. Reduce the problem statement to one or two sentences and narrow your focus. Choose a problem whose history is known and describable. Do not sanitize your

Unit 5

insuring successful collaborations

What are the key themes and recurring patterns to our story?

description of the issue - keep it as accurate as possible. Don't include any suggestions of solutions at this point. (The problem is: we just need a new computer.) Be non-judgemental.

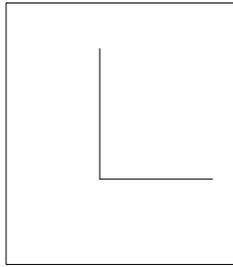
Example: The problem is: profits were steady for two years, but have been declining for the last six months.

The second step is to tell the story. Bring the story or stories underlying the problem to the surface. Develop a theory that makes sense, is logically consistent, and could—if accurate—explain why the system is generating the problems you see. Then test the story, in the spirit of the scientific method. The team should purposely maintain as many diverse, even contradictory, ideas for as long as possible, rather than jump to the right solution. The story won't be linear, instead you'll begin to see a series of events from many vantage points, you'll begin to identify key themes and recurring patterns, and your understanding of the underlying structure will deepen.

- **ACTIVITY:** Identify the "characters" of the story—the key factors of the story—by using the Frameworks process and contextual factors. Example: One key factor is the national health care costs are out of control, or we spend far too much time in redundant paperwork. The point here, is not to settle on any statement as right or wrong, but to begin talking about the problem, establish the dimensions of the problem, bring to light the collaboration's varied perspectives, and lay the groundwork for

selecting some key factors as variables.

Questions that might help: (1) How would this issue look from a high level management position? A front line worker position? (2) How would our elected officials view this issue? Or informed citizens? (3) What factors would be most prominent from these different perspectives? (4) What factors has our collaboration created or contributed?



Another approach is to give participants paper and pencil. Large sticky notes are great - 5 x 8 or larger. As individuals, draw the most important issue as a graph with time (months, years, whatever works) along the bottom of the X axis, and the key factor (number of clients per year, demand for technical support, etc.) as the Y axis. These don't need to be exact, just impressions. Accompany the graph with a few words (spoken or written) describing its significance.

Until this stage most people have only seen this situation in terms of the current moment. This exercise moves participants to a sensitivity for change over time, that it isn't a brand-new problem. When individual graphs are compared and discussed, suddenly a story is developed. You can notice common themes. If your graphs are on sticky notes you can begin to move them around on a wall, grouping them in patterns of behavior.

Questions that might help: (1) What basic story combines these graphs? (2) Do we need to reconsider the original problem?

Unit 5

insuring successful collaborations

evaluating your efforts (adapted from the Community Leader's Guide)

Did we do what we said we would do?

What was our impact?

- **OUTCOMES:** To assist the group's understanding of evaluation and how it corresponds with the Framework.
- **DISCUSS:** Evaluation is not concerned with summarizing your accomplishments, so much as understanding if you accomplished what you said you'd accomplish. It asks the questions, "Did we do what we set out to do?" And "What was the impact of our activity?"

Two basic philosophies exist for evaluation: (1) The evaluator should be separate from the action and be as neutral as possible, or (2) Those that carry out the plan are in the best position to interpret the information and draw conclusions. Have the group reach consensus regarding this.

Important aspects for a successful evaluation of the collaboration's efforts are already in place. The collaboration's outcomes and purpose and measurable indicators have been identified in Units 2 & 3. The only aspects that might remain for the collaboration to consider are the following: (1) Who is responsible for collecting the information, (2) How will it be collected and when? (3) What does the information tell us? (4) Who will interpret the information and draw conclusions and recommendations?

- **ACTIVITY:** If the group is comfortable in evaluating

its own efforts, bring the group to consensus regarding the questions in the above paragraph, and break into small groups for discussion and follow through.

The evaluation should make sense to the full collaboration, and help the group know whether or not they have reached their goal, or if they're on the right track. It should also be able to help the group justify what next steps may be needed.

hunting for root causes (adapted from The Five Whys by Rick Ross, in the Fifth Discipline Fieldbook by Peter Senge)

1 why?
2 why?
3 why?
4 why?
5 why?

- **OUTCOMES:** To assist group members in solving current problems with their collaboration.
- **DISCUSS:** Answers to "Why" questions should not blame individuals, because then you'll end up only able to punish the person and there won't be any chance to change the system. Example - "Why is there oil on the floor?" - because maintenance didn't clean it up. "Why didn't they clean it?" - because the supervisor didn't tell them. "Why didn't he do that?" - because the crew didn't tell him. "Why didn't they tell him?" - because he didn't ask...

We need to learn to recognize the difference between event-oriented explanations, and systemic explanations. Systemic explanations are the ones which lead to the reasons *why* they didn't clean it up, or he didn't tell them to, or they didn't ask - such as poor crew training. To avoid the distraction

Unit 5

insuring successful collaborations

of event or blame-related answers, try asking, "Okay, is that the only reason?"

- **ACTIVITY:** This activity is a way to hunt backward for the root cause(s) of difficult, recurring problem(s). It's about asking "Why," five times in a team setting with discussion.

First, pick a symptom, an issue, or a problem - someplace to begin unraveling the mystery. Ask the 1st why: "Why is such-and-such taking place?" Try and get three or four answers to put on the wall for everyone to see. Leave plenty of space around each answer.

Steps 2, 3, 4, and 5: Repeat this process for every statement on the wall. Ask "Why?" about each one, and write the answer next to the original statement. Follow up on likely answers. Look for convergences. Twelve different symptoms might be able to be traced back to two or three systemic sources. Tracing these paths you'll probably find issues that affect the whole system.

checklists for working together (adapted from Building Coalitions - Factors Influencing Partnerships and Collaborative Ventures in Federal Youth-At-Risk Projects" by the Ohio Center for Action on Coalition Development)

- **OUTCOMES:** To assist individual members in identifying problem areas for the collaboration.
- **ACTIVITY:** These checklists are designed to identify factors influencing the way people relate with each other in collaborations. The information obtained from this may help your group be more successful, avoid pitfalls, or diagnose problems that keep you from meeting your goals.

Checklist 1: A form with multiple sections containing questions and horizontal lines for responses. The questions are related to the goals and objectives of the collaboration.

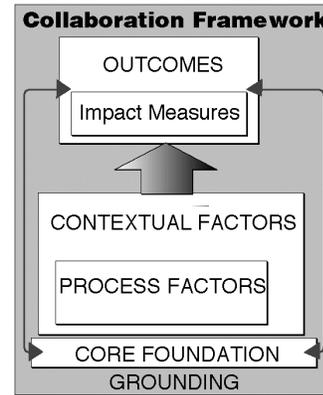
Checklist 2: A form with a table structure and horizontal lines for responses. The table has columns for 'Strengths' and 'Weaknesses'.

Checklist 3: A form with multiple sections containing questions and horizontal lines for responses. The questions are related to the roles and responsibilities of the participants in the collaboration.

These checklists may be used individually or in groups. They can be assigned as "homework" for team members to fill out and bring in at some future, specified date, at which time they can be compiled and a general overview of the group can be displayed. The idea is not to point out individuals to blame, but to gauge the groups strengths and weaknesses, in order to direct attention, time and energy to supporting the strengths and negating the weaknesses.

guide ^{unit 5}

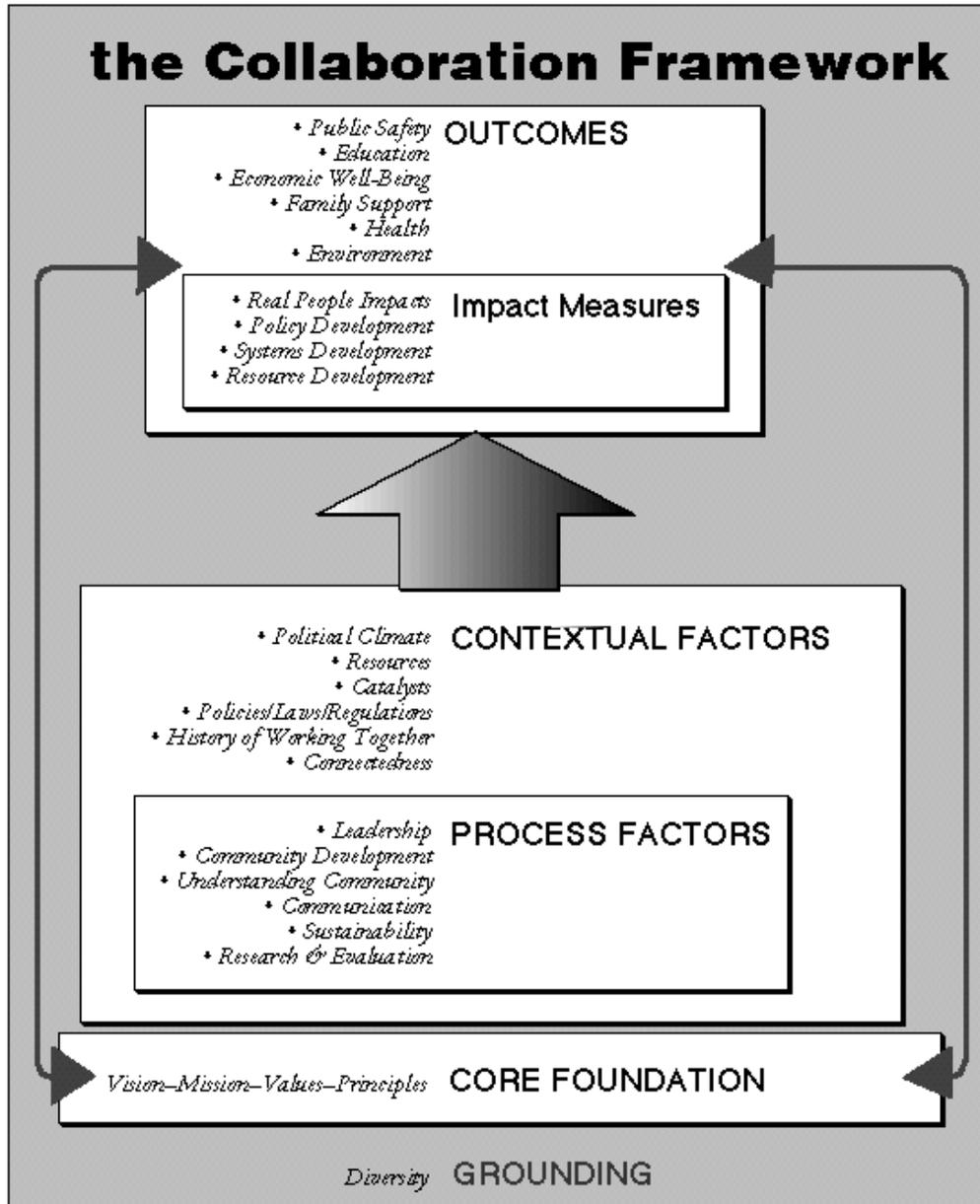
to materials



- **Taking Measure Along the Way.**
the Framework's 5 elements - triangle of vision.
- **Systems Thinking.**
interrelatedness.
- **Understanding Collaborative Systems.**
systems story telling - key themes - issue graph.
- **Evaluating Your Efforts.**
evaluation of efforts.
- **Hunting for Root Causes.**
the 5 whys
- **Checklist for Working Together.**
situational factors - structural dimensions - perceived effectiveness.

Unit 5

the Framework's 5 elements



© 1995 the National Network for Collaboration



Vision

Strategies

Leadership

Commitment

Unit 5

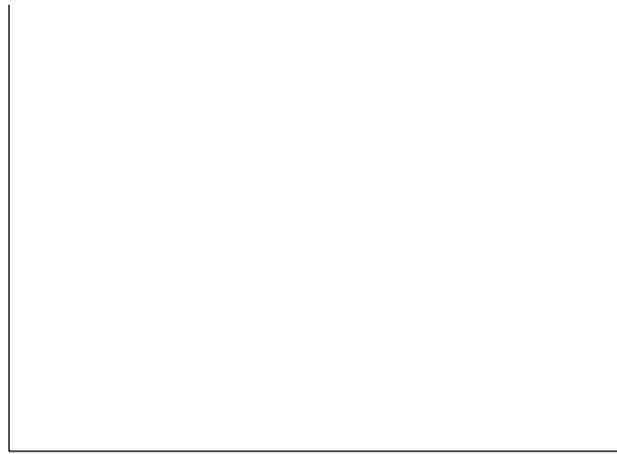
interrelatedness



How did we
contribute to
or create the
circumstances
we face now?

What are
the key
themes and
recurring
patterns to
our story?

Key
Factors



Time

Did we do
what we said
we would do?

What was
our impact?

1 why?

2 why?

3 why?

4 why?

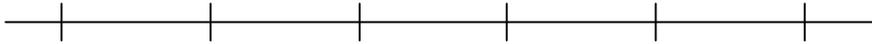
5 why?

Unit 5

Situational Factors

1. To what extent do the people working with you in this collaboration need your services, resources or support (your's or your organization's) to reach their personal or professional goals? (put an O for your response along the line.)

2. In order to obtain your goals (personal or organizational) to what extent do you or your organization need the services, resources, or support from the other members of this collaboration? (put an X for your response along the line.)

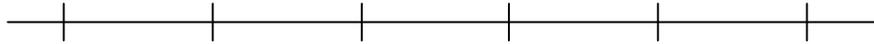


3. What specific services, resources, or support do others involved in this collaboration need from you or your organization? (Put a O next to all that apply.)

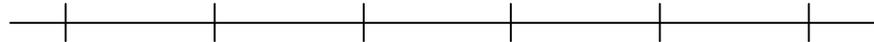
4. What specific services, resources, or support do you or your organization need from the other members of this collaboration? (Put an X next to all that apply.)

- Financial
- Facilitation
- Information
- Other (please list below)

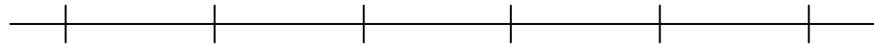
5. How well informed are you about the goals, etc. provided by other members of this collaboration?



6. How personally acquainted are you with the other members?



7. To what extent do you and the other members agree upon the goals of this collaboration?



8. To what extent do the members of this collaboration:

- A. Obtain funding from the same sources as your organization? (Use an O.)
- B. Provide the same kind of services as your organization? (Use an X.)
- C. Provide services to the same clients as your organization? (Use a Y.)
- D. Have the same kind of goals as your organization? (Use a Z.)
- E. Have staff with the same kind of skills/ experience as your organization? (Use an H.)



Structural Dimensions

1. How frequently were letters or reports exchanged during the last six months? (Use an O)
2. How often has the collaboration met during the past 6 months? (Use an X.)
3. How frequently were face-to-face discussions held during the past 6 months? (Use a Y.)
4. How frequently were telephone calls made with members during the past 6 months? (Use a Z.)

not at all							almost every day
---------------	--	--	--	--	--	--	---------------------

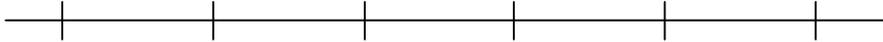
5. To what extent has this collaboration received the following resources for its involvement with your organization during the past year? (Put an O for your response along the line.)
6. To what extent did your organization receive each of the following resources from the collaboration during the past year? (Put an X for your response along the line.)

A. Money	dont know		a great extent
B. Use of your staff	dont know		a great extent
C. Client referrals	dont know		a great extent
D. Tech assistance	dont know		a great extent
E. Recognition	dont know		a great extent
F. Supplies	dont know		a great extent
G. Goal attainment	dont know		a great extent
H. Information	dont know		a great extent
I. New programs	dont know		a great extent
J. Other (please list)			

Unit 5

Perceived Effectiveness

1. To what extent do members carry out their commitments? (Use an O.)
2. To what extent do you feel your relationship with the collaboration is worthwhile? (Use an X.)
3. To what extent is the time and effort for this collaboration worthwhile? (Use a Y.)
4. To what extent have individuals or organizations added after the collaboration was funded impacted it's effectiveness? (Use a Z.)



5. When you want to communicate with other members of the collaboration how difficult is it? (Use an X.)
6. How would you characterize the quality of your communication with other members? (Use a Y.)
7. How often did your communications or messages get lost or not receive follow-through? (Use a Z.)



8. To what extent has fluctuations or changes in membership had an effect on the collaboration?

No effect Little effect Some effect No fluctuation

9. Have the fluctuations or changes been:

Positive Negative Neither

10. What things do you like most about working with the other members in this collaboration?

11. What things do you like least about working with the other members in this collaboration?

12. Has the collaboration experienced conflict between its members? Yes No

13. If yes, how was the conflict resolved?

Common Language

collaboration

a process of participation through which people, groups and organizations work together to achieve desired results. its goal is to bring individuals and members of communities, agencies and organizations together in an atmosphere of support to systematically solve existing and emerging problems that could not be solved by one group alone.

dialogue

a sustained collective inquiry into everyday experience and what we take for granted. its goal is to open a setting where people can become more aware of the context around their experience, and of the processes of thought and feeling that created that experience.

discussion

a conversational form that promotes fragmentation, through unproductive "advocacy wars" of one-upmanship.

diversity

the condition of honoring and including differences, with a variety and balance of efforts, people, things and/or products.

facilitation

an educational process of balancing the content of collaboration with youth and/or adult education methods.

common language

framework

a basic structure for ideas – for our purposes, a frame of reference for understanding the process of collaboration.

systems thinking

looking at the interrelatedness of forces within a system and seeing them as part of a common process.

Resource Grid

	Grounding	Foundation	Process Factors	Contextual Factors	Outcomes	Tools for Facilitation
Blyth, D.A. <i>Healthy Communities; Healthy Youth: How Communities contribute to Positive Youth Development</i> . Minneapolis, MN: Search Institute. 1993.	✓	✓			✓	
Cross, Terry L. Services To Minority Populations - Cultural Competence Continuum. <i>The Bulletin of the Research and Training Center to Improve Services for Seriously Emotionally Handicapped Children and Their Families</i> . 1988.	✓					
DeBevoise, W. <i>Collaboration: Some Principles of Bridgework</i> . Educational Leadership, 44(2). 1986.				✓		
Dryfoos, J.G. <i>Adolescents at Risk: Prevalence and Prevention</i> . New York, NY: Oxford University Press. 1990.				✓		
Eitington, Julius E. <i>The Winning Trainer</i> . Gulf Publishing Company, Houston Texas. © 1984.		✓				✓

	Grounding	Foundation	Process Factors	Contextual Factors	Outcomes	Tools for Facilitation
Gardner, J.W. <i>Building Community</i> . Annapolis Junction, MD: Independent Sector. 1991.	✓	✓			✓	
Halbert, Susan and Jean Hovey. <i>On Common Ground - Collaborations in Action: Resolving Land Use Issues Together</i> . National 4-H Council, Baltimore, MD. 1994.	✓	✓	✓			
Harwood Group. <i>Meaningful Chaos: How People Form Relationships with Public Concerns</i> . Prepared for the Kettering Foundation, Dayton, Ohio. © 1993.		✓	✓	✓		
Hogue, Teresa. <i>Community Based Collaboration: Community Wellness Multiplied</i> . Oregon State University, Oregon Center for Community Leadership. © 1993.	✓	✓	✓	✓		✓
Illinois Department of Alcoholism and Substance Abuse. <i>Communities in Touch: A Practical How-to Guide for Community Prevention Task Forces</i> .	✓	✓	✓	✓	✓	
Keirse, David and Marilyn Bates. <i>Please Understand Me: Character & Temperment Types</i> . Prometheus Nemesis Book Company, Del Mar, CA. 1978, 1984.			✓	✓		✓

	Grounding	Foundation	Process Factors	Contextual Factors	Outcomes	Tools for Facilitation
<p>Keith, Joanne - Project Director. Executive Summary: Creating Caring Communities - Building and Maintaining Community Coalitions on Behalf of Children, Youth and Families. Michigan State University, Institute for Children, Youth, and Families.</p>	✓	✓	✓			
<p>Keith, J.G., Covey, M., Perkins, D.F. <i>The Role of Religious Institutions in Community Collaborations on Behalf of Children, Youth and Families</i>. East Lansing, MI: Michigan Agricultural Experiment Station. 1996.</p>				✓		
<p>Keith, J.G., Knox, A., Perkins, D.F., & Blackman, C. <i>Building an Educational Collaboration on Behalf of Children, Youth and Families</i>. East Lansing, MI: Michigan Agricultural Experiment Station. 1995.</p>				✓		
<p>Keith, J.G., Perkins, D.F., Zhou Z., Clifford, M.C., & Townsend, M.C. <i>Building and Maintaining Community Coalitions on Behalf of Children, Youth and Families</i>. East Lansing, MI: Michigan Agricultural Experiment Station. 1993.</p>			✓	✓		

	Grounding	Foundation	Process Factors	Contextual Factors	Outcomes	Tools for Facilitation
Kretzmann, John P. and John L. McKnight. <i>Building Communities from the Inside Out - A Path Toward Finding and Mobilizing a Community's Assets</i> . ACTA Publications, Chicago, Illinois, 1993.	✓	✓	✓	✓		✓
Lerner, R.M. <i>America's Youth in Crisis: Challenges and Options for Programs and Policies</i> . Thousand Oaks, CA: SAGE. 1995.				✓		
Lofquist, William A. <i>Discovering the Meaning of Prevention - A Practical Approach to Positive Change</i> . AYD Publications, Tucson, Arizona. © 1983.		✓	✓	✓	✓	✓
Loughran, E.L. <i>Networking, Coordination, Cooperation and Collaboration: Different Skills for Different Purposes</i> . Community Education Journal, 37, 28-20. 1982			✓	✓		
Mattessich, P.W., & Monsey, B.R. <i>Collaboration: What Makes it Work: A Review of Research Literature on Factors Influencing Successful Collaboration</i> . Saint Paul, MN: Amherst H. Wilder Foundation. 1992.	✓	✓	✓	✓	✓	✓

	Grounding	Foundation	Process Factors	Contextual Factors	Outcomes	Tools for Facilitation
Meszaros, P.S. <i>The 21st Century Imperative: A Collaborative Ecological Investment in Youth</i> . Journal of Home Economics, Fall 1993.	✓	✓				
Michigan State University 4-H Youth Programs. Group Dynamite: Group Interaction, Group Effectiveness, Group Process. East Lansing, Michigan.			✓	✓		✓
National Assembly of Volunteers in Health and Social Welfare Organizations. <i>Community Collaboration Manual</i> . Washington DC: National Collaboration for Youth. 1993.	✓	✓	✓	✓	✓	✓
National Collaboration for Youth. Making the Grade: Community Workbook. Washington D.C.	✓	✓	✓	✓	✓	
National Collaboration for Youth. Making the Grade: Town Meeting Guide. Washington D.C.	✓	✓	✓	✓	✓	✓
National Commission on Children. <i>Beyond Rhetoric: A New American Agenda for Children and Families</i> . Washington DC: Author. 1991.	✓	✓				

	Grounding	Foundation	Process Factors	Contextual Factors	Outcomes	Tools for Facilitation
National Land Use Collaboration: On Common Ground. Building Common Ground. National 4-H Council, Chevy Chase, MD. 1994.	✓	✓	✓	✓	✓	✓
National Network for Collaboration, Collaboration Framework ... Addressing Community Capacity. Columbus, OH.	✓	✓	✓	✓	✓	
National Public Policy Education Committee. Public Issues Education (PIE) - Increasing Competence in Resolving Public Issues. University of Wisconsin - Extension, Madison, WI. 1994.	✓	✓	✓			✓
Nilson, Carolyn. Team Games for Trainers. McGraw-Hill, Inc. 1993.	✓	✓	✓	✓		✓
Oech, Roger von. A Whack on the Side of the Head. Warner Books, Inc. New York, New York. © 1983.	✓					✓
Office of Substance Abuse Prevention. Prevention Plus III: Assessing Alcohol and Other Drug Prevention Programs at the School and Community Level - A Four-Step Guide to Useful Program Assessment. U.S. Department of Health & Human Services.	✓	✓	✓	✓	✓	✓

	Grounding	Foundation	Process Factors	Contextual Factors	Outcomes	Tools for Facilitation
Ohio State University - Center for Action on Coalition Development. Building Coalitions. Ohio State University Extension, Columbus, OH. 1993.	✓	✓	✓	✓	✓	✓
Park, Peter. <i>Participatory Research: A Theoretical and Methodological Perspective</i> . Voices of Change. 1994.	✓	✓				
Perkins, D.F., Ferrari, T.M., Covey, M.A., & Keith, J.G. <i>Getting Dinosaurs to Dance: Community Collaborations as Applications of Ecological Theory</i> . Home Economics Forum, 7, 39-46. 1994.	✓	✓	✓	✓	✓	✓
Rees, Fran. How to Lead Work Teams: Facilitation Skills. Pfeiffer & Associates, San Diego, CA. 1991.	✓	✓	✓			✓
Reisman, Jane. The Field Guide to Program Evaluation - Helping Organizations Define and Measure Outcomes. The Evaluation Forum, Seattle, WA, 1995.			✓		✓	✓
Saint, Steven and James R. Lawson. Rules for Reaching Consensus: A Modern Approach to Decision Making. Pfeiffer & Company, San Diego, CA. 1994.			✓	✓		✓

	Grounding	Foundation	Process Factors	Contextual Factors	Outcomes	Tools for Facilitation
Sanders, Nancy. Family Community Leadership Resource Pack. Family Community Leadership, Washington State University Cooperative Extension, Pullman, WA1984.	✓	✓	✓	✓	✓	✓
Scannell, Edward E. and John W. Newstrom. Games Trainers Play; Even More Games Trainers Play. McGraw-Hill, Inc. 1980 and 1994 respectively.	✓	✓	✓	✓		✓
Schorr, Lisbeth. Shifting To Outcome-Based Accountability: A Minimalist Approach For Immediate Use. National Alliance for Restructuring Education c/o Center for the Study of Social Policy, Washington D.C. Draft 5-27-93.					✓	
Senge, Peter M. The Fifth Discipline - The Art & Practice of The Learning Organization. Currency Doubleday, New York, New York. © 1990.	✓	✓	✓	✓	✓	
Senge, Peter M. & Richard Ross, Bryan Smith, Charlotte Roberts, Art Kleiner. The Fifth Discipline Fieldbook - Strategies and Tools for Building a Learning Organization. Currency Doubleday, New York, New York. © 1994.	✓	✓	✓	✓	✓	✓

	Grounding	Foundation	Process Factors	Contextual Factors	Outcomes	Tools for Facilitation
Slinski, Marge. Building Community Based Coalitions - Encouraging the Discouraged. University of Massachusetts Cooperative Extension, Amherst, MA 1993.	✓	✓	✓	✓		
Slinski, Marge. Building Communities of Support for Families in Poverty - Master Teacher in Family Life Program. University of Massachusetts Cooperative Extension, Amherst, MA 1993.	✓	✓	✓	✓	✓	✓
Slinski, Marge. Building Communities of Support for Youth at Risk and Their Families. University of Massachusetts Cooperative Extension, Amherst, MA 1993.	✓	✓	✓	✓		
University of Illinois Cooperative Extension Service. Leadership Skills You Never Outgrow - Books III & IV: Working with Groups, Leading Groups. Urbana, Illinois.			✓	✓		✓
Walker, Gregg and Seven Daniels. Collaborative Learning and the Management of Natural Resources Disputes. Oregon State University, Corvallis, OR. 1994.	✓	✓	✓	✓		

	Grounding	Foundation	Process Factors	Contextual Factors	Outcomes	Tools for Facilitation
Walters, Jonathan. The Benchmarking Craze. Governing Magazing, April 1994.					✓	
Washington State University Cooperative Extension. Community Leader's Guide. Department of Community Development, Community Revitalization Team, Spokane, WA.	✓	✓	✓	✓	✓	✓
Wheatley, Margaret J. Leadership and the New Science - Learning About Organization From an Orderly Universe. Berrett-Koehler Publishers, Inc. San Francisco, CA. © 1992.	✓	✓	✓			
Winer, M. & Ray, K. <i>Collaboration Handbook: Creating, Sustaining, and Enjoying the Journey</i> . Saint Paul, MN: Amherst H. Wilder Foundation. 1994.				✓		
Wolff, T. & Foster, D. <i>Coalition Building: Path to Empowered Communities</i> . Amherst, MA: AHEC/ Community Partners.	✓	✓				