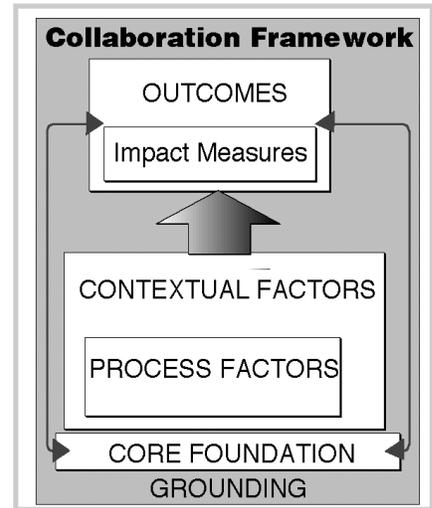## understanding collaborations

focus
unit 1

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

Collaboration Framework

OUTCOMES

Impact Measures

CONTEXTUAL FACTORS

PROCESS FACTORS

CORE FOUNDATION

GROUNDING

- 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:
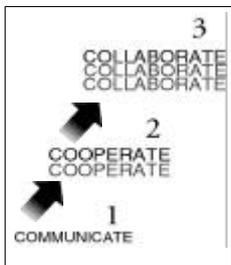
community linkages

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.

community
conversation

Standards

context of the
community

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for handout and use
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to this page

COMMUNICATE
COOPERATE
COOPERATE
COLLABORATE
COLLABORATE
COLLABORATE
3
2
1

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to this page

- 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

Unit 1
understanding   collaborations

share our taxi with that person and act coopera-tively. Taking this example further along the con-tinuum 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 dis-turbed them. Their behavior changed from commu-nication 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 bud-gets for teen pregnancy programming, they had effectively collaborated.

- 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,

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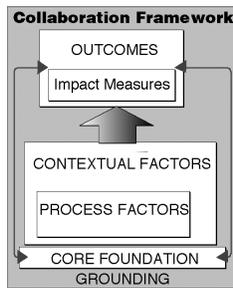
This is an actual case study of collaboration in which names have been changed.

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

Collaboration Framework

OUTCOMES / Impact Measures / CONTEXTUAL FACTORS / PROCESS FACTORS / CORE FOUNDATION / GROUNDING

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:

initiating collaborations

- 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

Rate Your Community Conditions

Competition	Collaboration
Reaction	Prevention
Experts	Citizens
Activity Driven	Vision Driven
Control Decisions	Share Decisions

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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-
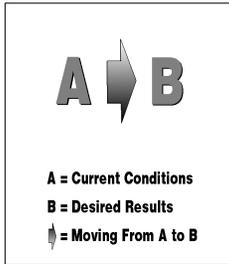
Unit 1

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.)

Standards

agree on the
outcomes

A = Current Conditions
B = Desired Results
= Moving From A to B

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?

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- 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), out-come, 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

Unit 1

(research revealed 80% of those girls with children were 2nd generation teen moms). <u>B</u> 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 womenwere having babies and interrupting their educations). <u>C</u> targets natural community touch points to raise the issue.

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

In the third phase, <u>A</u> 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. <u>B</u> is to assure young people will make conscious decisions to postpone parenting until they are self-sufficient, productive, and contributing members of the community. <u>C</u> 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

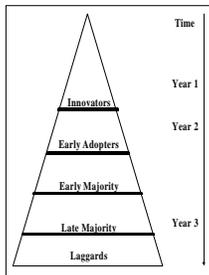### how change comes about: (from the "Community Leader's Guide")

Standards

agree on outcomes

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

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Time

Year 1

Innovators

Year 2

Early Adopters

Early Majority

Late Majority   Year 3

Laggards

- 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.

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understanding   collaborations

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?

Unit 1

understanding   collaborations

beliefs about change: (from the "Community Leader's Guide")
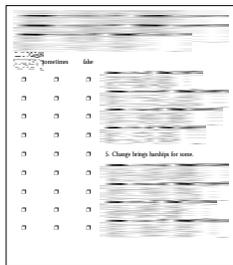
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- OUTCOMES: To assist the group in identifying how they feel about change by thinking about their beliefs.

- 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.
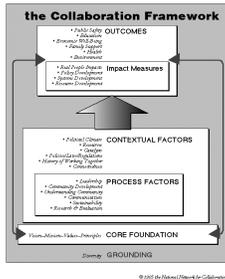
Unit 1

understanding   collaborations

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using the Framework for collaborative efforts:

agree on the outcomes

the Collaboration Framework

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

• *Real People Impacts* Impact Measures
• *Policy Development*
• *Systems Development*
• *Resource Development*

• *Political Climate* CONTEXTUAL FACTORS
• *Catalysts*
• *Policies/Laws/Regulations*
• *History of Working Together*
• *Connectedness*

• *Leadership* PROCESS FACTORS
• *Community Development*
• *Understanding Community*
• *Communication*
• *Sustainability*
• *Research & Evaluation*

Vision—Mission—Values—Principles CORE FOUNDATION

Strategy GROUNDING

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• OUTCOMES: To assist the group to understand the five elements of the Collaboration Framework.

• DISCUSS: Grounding, Core Foundations, Outcomes, Process and Contextual Factors.

(1) <u>Grounding</u> 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 <u>Core Foundation</u> 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.

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

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

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

Unit 1

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

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

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

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

Examples of <u>Outcomes</u> 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

Standards

agree on the outcomes

- 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.

- 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.
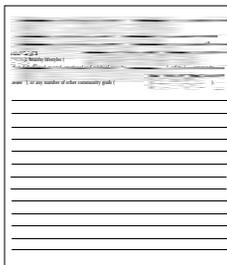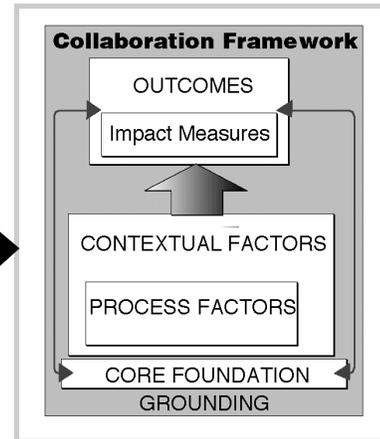
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guide unit 1

to materials

Collaboration Framework

OUTCOMES

Impact Measures

CONTEXTUAL FACTORS

PROCESS FACTORS

CORE FOUNDATION

GROUNDING

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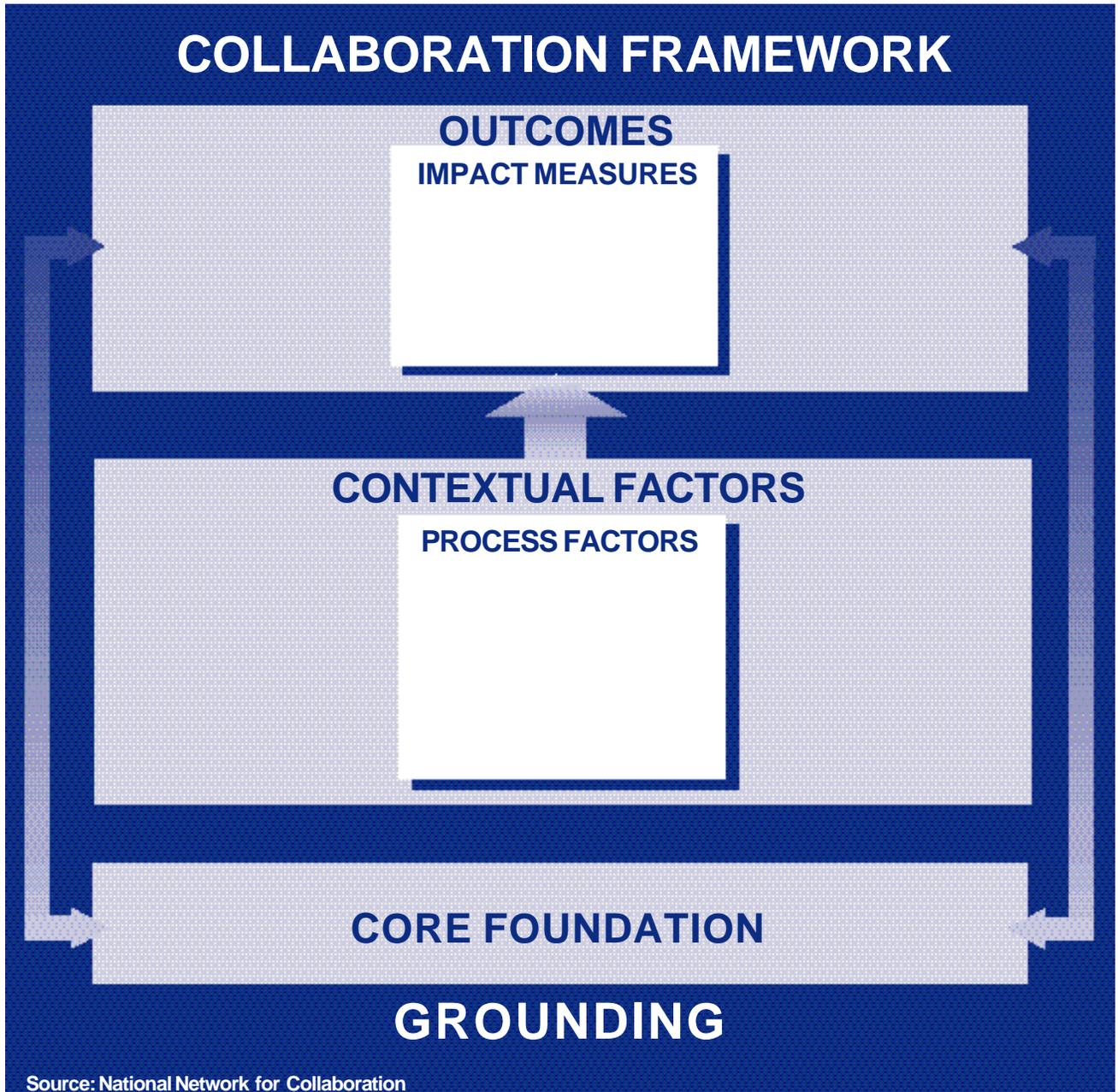
THE COMMUNITY: Larkin County has a population of approximately 20,000 people. Principle industries are agriculture, forest products and tourism. There is a range of socioeconomic levels.

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.

COLLABORATION FRAMEWORK

OUTCOMES
IMPACT MEASURES

CONTEXTUAL FACTORS
PROCESS FACTORS

CORE FOUNDATION

GROUNDING

Source: National Network for Collaboration

Unit 1

rating   community   conditions

Rate Your Community Conditions

Competition   **Collaboration**

Reaction   **Prevention**

Experts   **Citizens**

Activity Driven   **Vision Driven**

Control Decisions   **Share Decisions**

A ▶ B
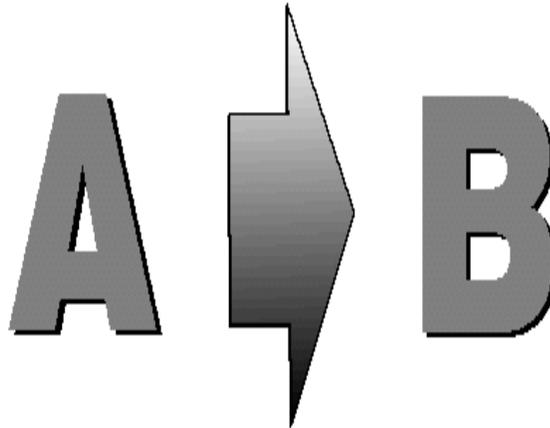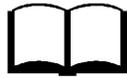
A = Current Conditions

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:

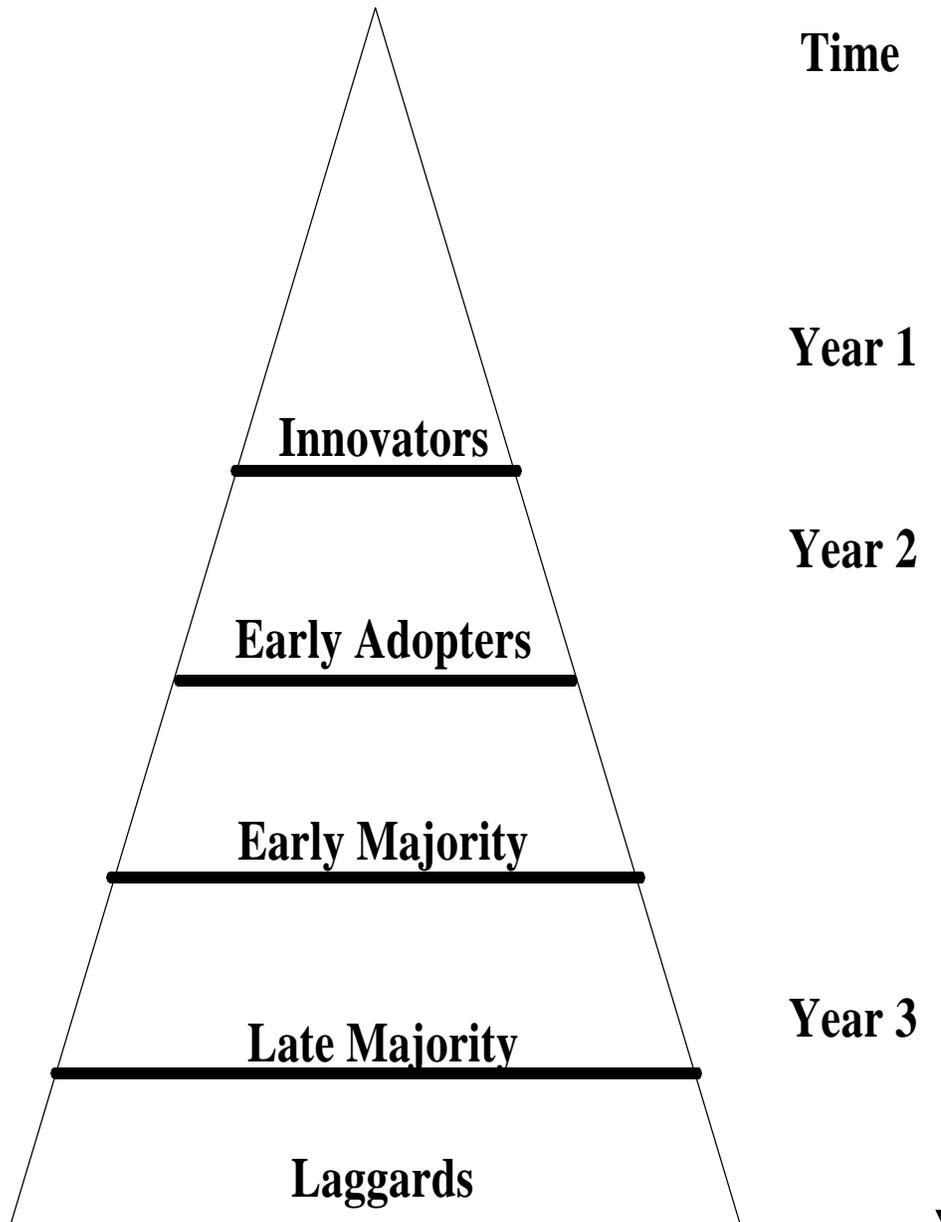**What Are The Strategies To Move From A to B?**

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

Unit 1

how change comes about

Innovators

Early Adopters

Early Majority

Late Majority

Laggards

Time

Year 1

Year 2

Year 3

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	
❐	❐	❐	1. People tend to resist change.
❐	❐	❐	2. Only momentous change is worthwhile.
❐	❐	❐	3. Nothing can be changed overnight.
❐	❐	❐	4. Change means improvement.
❐	❐	❐	5. Change brings harships for some.
❐	❐	❐	6. Change brings reward for the instigators.
❐	❐	❐	7. Technological change should be slowed.
❐	❐	❐	8. Change usually comes by chance.
❐	❐	❐	9. People cannot adapt well to any change.

Unit 1
the   Framework's   5   elements

COLLABORATION FRAMEWORK

- Public Safety

- Education

- Economic Wellbeing

OUTCOMES
IMPACT MEASURES

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

- Family Support

- Health

- Environment

CONTEXTUAL FACTORS
PROCESS FACTORS

- Political Climate

- Resources

- Catalysts

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

- Policies/Laws/ Regulations

- History of Working Together

- Connectedness

CORE FOUNDATION: VISION ⟷ MISSION ⟷ VALUES/PRINCIPLES

GROUNDING: DIVERSITY

Write down the goals you would like to see accomplished as a result of this collaboration. These are broad statements of what you would like to achieve.

Your goals might have to do with the well-being of your community (example: all community members are committed to creating a positive environment in South Jones), **healthy lifestyles** (ex: all community members will have the resources to reach their full physical, mental, emotional and spiritual capacity), **safety** (ex: community neighborhoods will be safe and secure for children, adults, families and businesses), **or any number of other community goals** (ex: economic, learning, etc.).

_____

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