


US EPA ARCHIVE DOCUMENT



Working Together: An Introduction to Collaborative Decision-Making



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Introductions

Welcome



Today's Agenda

1. Introduction to Collaboration
2. The Collaborative Process
3. Conducting a Situation Assessment
4. Being Collaborative
5. Key Collaborative Skills for Managers



Why Collaboration?

- Reinforce EPA's Long-term history of cooperative environmental regulation
- Stakeholder involvement is central to our work
- Not a fad or short-term political initiative



Why Collaboration?

Collaboration is Good Governance!

Four critical (nonvoting) capacities for democracy:

- Resolve conflicts peacefully
- Cooperate across party lines
- Inclusive agendas for action
- Capacity for citizen participation.

Source: International Institute for Democracy and Electoral Assistance



Course Goals

- Increase our knowledge of collaboration
- Know when to apply collaboration
- Explore our roles as managers in collaboration



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Opening Exercise

Win As Much As You Can
Follow Trainers Instruction.



What is Collaboration?

col·lab·o·ra·tion

The act of working together with one or more people, to achieve something.



What is Collaboration?

Attitude and Approach



- Desire to be cooperative
- Work to understand others
- Flexible and creative
- Problem-solvers
- Partners
- Facilitators
- Leaders



Deliberate process for shared action throughout the full decision life-cycle:

- design
- convening
- implementation



The Manager's Role

You create the **culture**:

- consider collaboration
- create skills and tools for staff
- provide time and resources
- provide incentives and give recognition
- Model attitude for others



Powerful Decisions

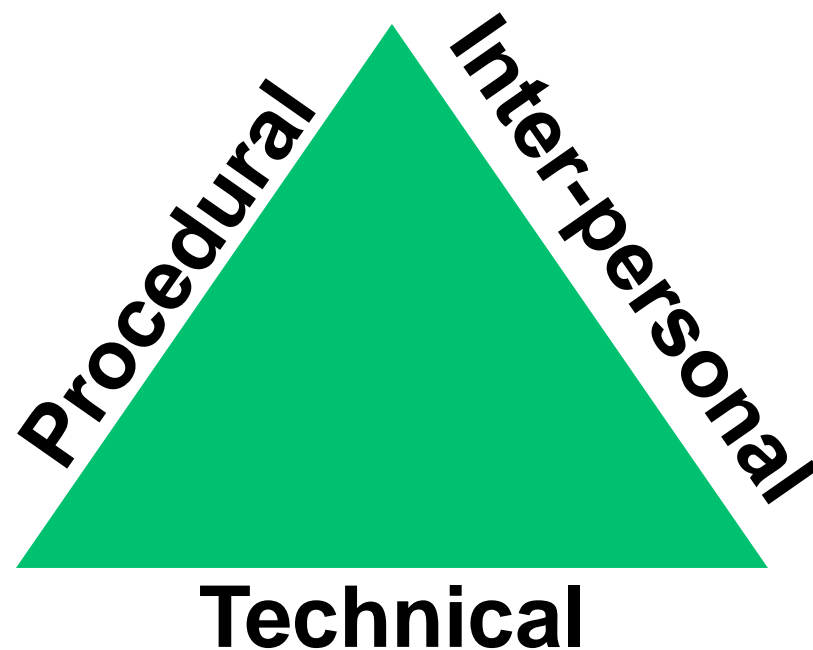
- Don't just solve the technical problem
- Create ownership among stakeholders
- Implementable
- Sustainable



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Powerful Decisions



Powerful Decisions

Tell me, I forget
Show me, I remember
Involve me, I understand

Chinese Proverb



THAT'S LIFE MIKE TWOHY



The Manager's Role

- Resolve issues for good
- Use our resources to implement good decisions rather than revisit bad ones.



Characteristics

- Relationships
- Cooperation
- Shared Learning
- Transformational Thinking
- Sustainability



Relationships

- Respect
- Time to learn about each other
- Trust
- Shared interests



Cooperation

- All key parties engaged
- Everyone understands problem, process, and rationale
- Work together with focus on solving the problem



Shared Learning

- Everyone understands each other
- Everyone understands the problem
- All information is transparent
- Shared development and analysis of options



Transformational Thinking

- Not compromise
- Creative thinking
- Unanticipated solutions
- Integration of interests



Sustainability

- Full range of stakeholder interests
- Ownership by key stakeholders
- Design for the real world
- Flexibility in implementation
- Clear roles and responsibilities



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Sustainability



When Do We Collaborate?

- Informal collaboration all the time
- Formal Collaboration is a big commitment



Formal Collaboration

- Big, long-term decisions
- Requiring implementation by other parties
- Requiring diverse input and agreement
- EPA lacks the resources to go alone



EPA's Five Levels

- Based on your overall goal, you will seek more or less stakeholder interaction
- The more agreement we require, the higher level of interaction and the more collaboration



EPA Model

Less Collaborative

More Collaborative

OUTREACH

Purpose: To provide information

Types:

- Website
- Fact Sheet
- Phone Hot Line
- Federal Register Notice
- Press Release

INFORMATION EXCHANGE

Purpose: To provide and exchange data, opinions and options

Types:

- Meetings with individuals
- Public Meetings
- Workshops
- Listening sessions
- Availability sessions

RECOMMENDATIONS

Purpose: To provide non-binding but influential advice or comments

Types:

- Advisory committees
- Scoping sessions
- Policy dialogues
- Task force
- Joint fact finding

AGREEMENTS

Purpose: Reach workable agreement or settlement

Types:

- Negotiated rulemaking
- Consensus permit
- Settlement agreement
- Consent Order
- Statement of principles

STAKEHOLDER ACTION

Purpose: Empower stakeholders to take action

Types:

- Industry sector initiatives
- Voluntary pollution reduction programs
- Watershed collaboratives
- Community Action for a Renewed Environment (CARE)
- Sustainability forums



The Manager's Role

- Communicate collaboration to staff
- Believe in the potential for collaboration
- Help others understand the value of collaboration

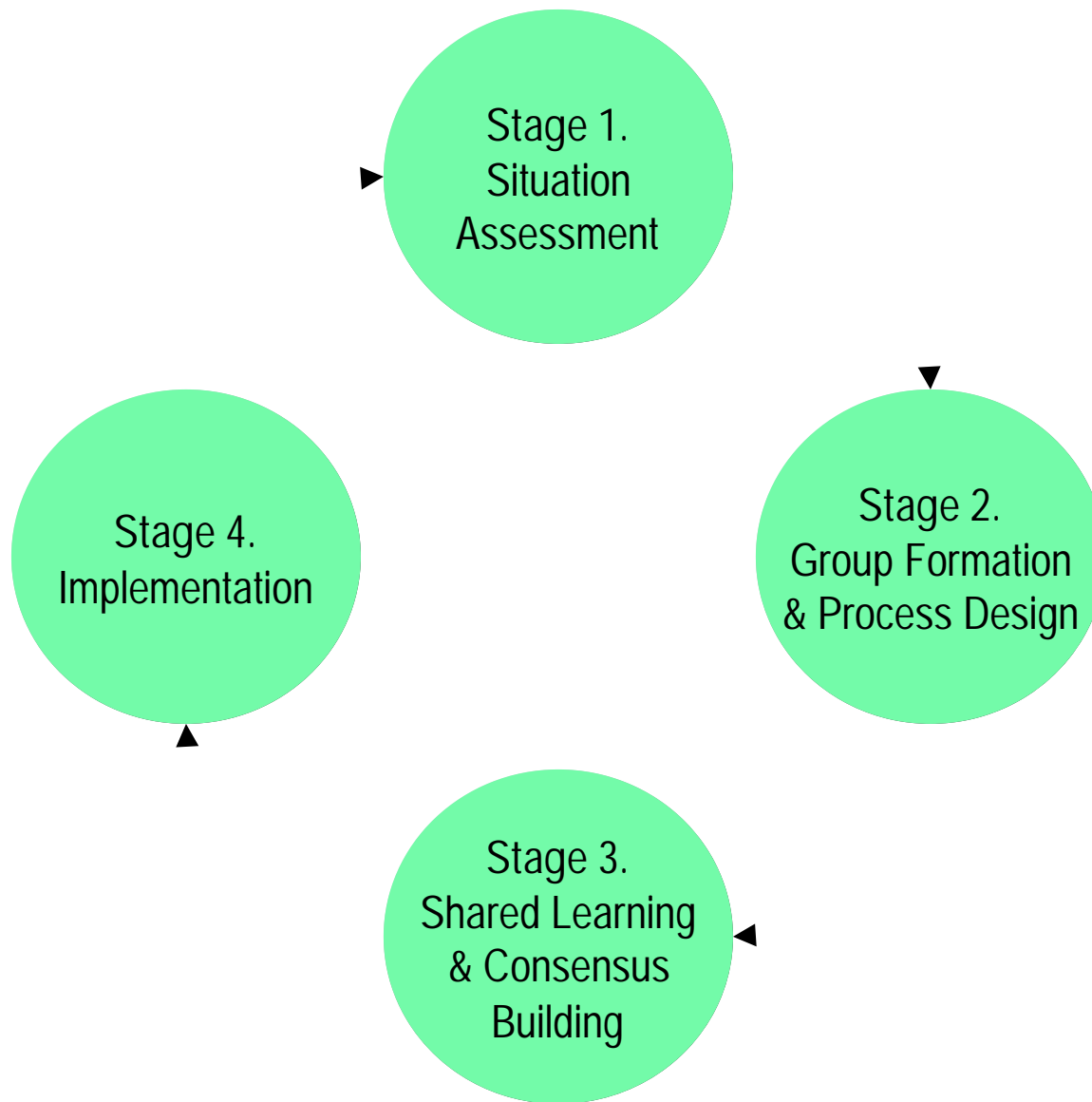


Class Discussion

- How do you use collaboration now?
- Where are we choosing not to use it? Why?



2.0 Collaborative Process



Collaborative Stages

Stage 1. Situation Assessment

1. Our view
2. Who are the stakeholders
3. Their views
4. Relationships
5. BASIC assessment
6. Decision about collaboration
7. Commitment
8. Evaluation



Collaborative Stages

Stage 2. Formation and Design

1. Convening and commitments
2. Build/repair relationships
3. Jointly define the problem
4. Mission, objectives, ground rules
5. Define process and facilitation
6. Communications
7. Evaluation



Collaborative Stages

Stage 3. Shared Learning/Consensus

1. Shared learning
2. ID values and interests
3. ID criteria for success
4. Joint development of alternatives
5. Group analysis
6. Build the best answer together
7. Evaluate



Collaborative Stages

Stage 4. Implementation

1. Written agreements
2. Explicit implementation plans
3. Plan for the real world
4. Clarify roles and responsibilities
5. Outreach and education
6. Evaluate



Collaboration is Different

- Different Process leads to different outcomes



Leader

- Convenes
- Responsible for success
- Convenes group
- Pays for process resources
- Ultimate decision-maker



Participant

- Key stakeholder
- Collaborative attitude
- Contribute resources



Facilitator

- Whole process manager
- Content neutral if in formal role



Facilitator Roles

- Create positive environment
- Logistics
- Get everyone heard
- Design process
- Guide and enforce process
- Assist in consensus



The Manager's Role

- Know the role(s) EPA is playing
- Prepare staff appropriately



Class Discussion

- When has EPA played these different roles:
- How did we make positive contributions?
- What more could we have done?



3.0 Situation Assessment

Three Phases

- Internal
- External
- Selecting the right approach



Internal Assessment

BASIC Assessment

- Barriers
- Assumptions
- Strengths
- Incentives
- Commitments



Manager's Role

Be realistic and provide leadership:

- What needs attention
- Build enthusiasm
- Incentivize and reward
- Build internal capacity
- Explain decisions
- Be ready to stop what does not work



Exercise

- Conduct a BASIC assessment on a project you are or may be facing
- Just identify one or two issues per box



External Assessment

- Directly with Stakeholders
- Often by a neutral
- Confidential
- Report not for attribution



External Assessment

What are the Issues?

- Needs, interests, values
- Past history
- Level of knowledge
- Time, schedule constraints
- Desired outcomes
- Risks of non-resolution



External Assessment

Who is Involved?

- Recognized participants
- Who is missing?
- Who's support is needed?
- Who's opposition would hurt?



External Assessment

What's Next?

- Possible approaches
- Additional information needs
- Get others interested
- Needed resources/facilitation
- Realistic end products
- Commitments needed



Selecting the Right Approach

- Goals, commitment, roles
- Time and resource availability
- Credibility and trust
- Importance of issue
- Relationships and willingness of stakeholders
- Controversy and Complexity of issues
- Range of stakeholders



The Manager's Role

Know and Decide:

- Nature of decision
- Relationships with stakeholders
- Willingness and flexibility of EPA

Use your resources wisely



Table Exercise

Pick a project:

- What level of collaboration makes sense?
- What prevents us from being more collaborative?
- How do we overcome these barriers?



4.0 Being Collaborative

EPA needs to lead



Foundations

- Credible Lead Agency
- Clear Purpose
- Functional Relationships
- Trusted Information
- Dialogue
- Clear and Managed Process



The Manager's Role

- Model collaborative behaviors
- Provide guidance and support



Credible Organizations

- Truthful
- Transparent
- Responsible
- Caring
- Consistent



Credible Organizations

*“I don’t care how much you know
until I know how much you care.”*

--Every Stakeholder



Public Goodwill Accounts

- Deposits
- Withdrawals
- Balance



The Manager's Role

- Know Your Balance!
- Make Deposits!



Table Discussions

- What is EPA's goodwill balance with some of our key stakeholders?
- What can we do to make more deposits?



Collaborative Behaviors

- Willingness
- Openness
- Civility
- Humility
- Partnering



The Manager's Role

- Again, model these behaviors
- Create a collaborative culture

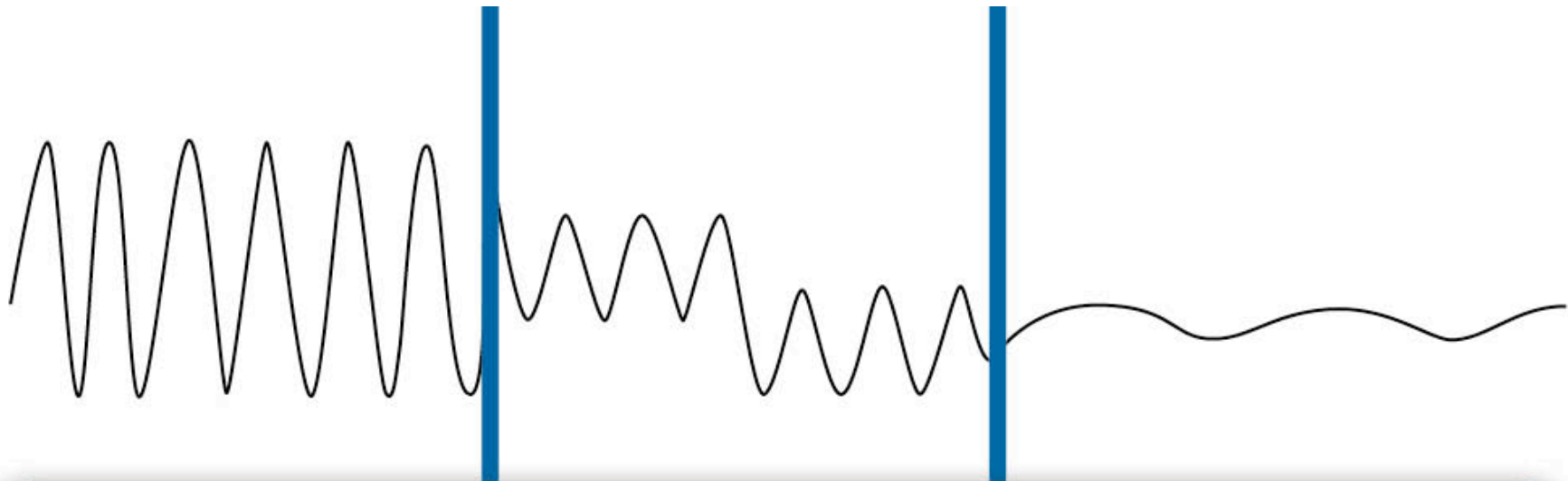


Table Exercise

- Match the attributes of collaborative vs. competitive groups



Dialogue



Debate/Argument	Discussion	Dialogue
Objective is to Win	Objective is to be understood	Objective is to find common understanding
It's all about me	Me first	You first
You are my opponent	You need to be convinced	You are my colleague
Rudeness OK	Politeness expected	Truly interested

Debate to Dialogue

- Balance advocacy and inquiry
- Build Shared meaning
- Listen deeply
- Pay attention to your intentions
- Identify common ground
- Explore impasses



The Manager's Role

- Practice dialogue internally
- Encourage staff to engage in dialogue



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Listening?

“Conversation in the United States is a competitive exercise in which the first person to draw breath is declared the listener.”

- Nathan Miller



Listening Skills Test

- Take this test for how you behave at work



Types of Listening

- Ignoring
- Arguing
- Passive
- Active



Manager's Role

- The better you listen, the better your staff will listen
- Then everyone will be heard



3 Steps to Active Listening

Step 1. Get Ready to Listen

- Stop talking
- Get rid of distractions
- Put your own thoughts aside
- Share responsibility for communication



3 Steps to Active Listening

Step 2. Focus on the Speaker

- Empathize
- Express interest
- Encourage equally
- Be patient
- Listen to how something is said
- Pay attention to non-verbal clues
- Ask clarifying questions
- Reflect back what you've heard



3 Steps to Active Listening

Step 3. Monitor Yourself

- Know yourself
- Do not argue mentally
- Recognize your own prejudices and avoid judgments
- Do not antagonize the speaker
- Avoid assumptions
- Focus on the ideas



- This is not new
- It is a part of good governance
- Both attitude and approach
- Keep it simple
- Focus on behavior
- Pay attention to process
- Not always appropriate
- Sometimes we need help

