

## **Chapter Eight: Collaboration**

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IBM CENTER FOR THE BUSINESS OF GOVERNMENT  
WASHINGTON, DC 20005

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: **Collaboration**

Fostering collaboration will be a key component of your job. The need for improved and enhanced collaboration within and between agencies in the federal government, with state and local governments, as well as with nonprofits and businesses, is now clearly needed. The federal government's ineffective collaboration with other government organizations was clearly apparent and widely criticized during Hurricane Katrina in 2005.

**Collaborate to Solve National Problems**

Why is collaboration rising in importance? In short, the federal government's role in responding to national problems is dramatically evolving. Few national problems can be met exclusively by the federal government alone. Instead, government is now at the center of forming partnerships and networks to collaborate on any given national problem. University of Pennsylvania's Don Kettl aptly describes this new phenomenon: "Effective 21st century governments work to ensure seamless service delivery in which governments structure their service delivery systems according to the problems to be solved, not by focusing on the organizations charged with solving them."

The traditional model of government agencies administering hundreds of programs by themselves is giving way to one-stop services and cross-agency results. This transition implies collaboration—within agencies, among agencies, between levels of government, and between the public, private, and nonprofit sectors. Applying collaboration in diverse policy arenas, such as law enforcement, social services, transportation, homeland security, and the environment, is expanding. As networks and partnerships take on many new shapes, organizations are shifting their focus from "within" to "between."

**Use Networks and Partnerships**

While the reliance on networks and partnerships is increasing, there are still many challenges in effectively using these new tools. For example, as networks and partnerships grow, how do you fund them? As agency lines blur, who gets the credit, or when things go wrong, who is held accountable and for what? As networks go beyond the traditional approaches of cooperation and coordination between hierarchical agencies, how are they held accountable in the context of the traditional "rule of law" paradigm?

Collaboration occurs when people from different organizations produce something together through joint effort, resources, and decision making, and share ownership of the final product or service. The focus is often on producing or implementing something. Collaboration, however, can mean using one or a mix of tools on a continuum that ranges from the traditional approaches of coordination and cooperation to the creation of new networks, some of which may contain formal partnership agreements.

- **Using networks.** Because of their informal nature, networks tend to be time-consuming to develop and fragile to maintain. The decision on whether to use this approach depends on an initial assessment of whether the right dynamics exist and whether they reflect the characteristics of a successful network. Key dynamics include factors such as the styles of leaders, the types of measures of success, the use of technology, and the various approaches to accountability. Successful networks share five characteristics: shared vision and trust, independent members, voluntary links, multiple leaders, and clearly defined

roles. Conducting a hard-headed assessment up front as to the probability of a network approach working effectively and succeeding will save many headaches later.

Even given the difficulty of creating networks, networks possess attributes that cannot be easily created by other vehicles. Networks provide a boundary-spanning mechanism, increase the capacity of participating organizations to combine capabilities, and spur innovation and adaptation to local conditions.

- **Using partnerships.** Much like networks, there are different types of partnerships. While partnerships tend to be more defined than networks, they may as a result face more difficulties in getting established. Partnerships do have some distinct advantages. First, a partnership tends to be more resilient when there is a transition in leadership among its members. Since networks are based largely on interpersonal relationships rooted in trust among members, networks are more vulnerable to falling apart when there is substantial turnover of membership or sponsorship. Second, because partnerships involve a more formal set of relationships, it is easier for them to leverage the resources of others. Key determining factors in your decision as to whether to join or create a partnership is whether you conclude that your interests are in alignment with your potential partners' and whether the benefits of the partnership outweigh the potential costs to you and your organization.

As the government moves forward in the decades ahead to meet challenges in many diverse arenas, collaborative networks and partnerships are approaches that can provide you with greater leverage to achieve national goals than the traditional "stovepipe" approach to individual federal programs. We recommend their increased use.

### **Build New Management Skills**

As the use of collaboration increases, you and your management team will be challenged in new ways because you and your team will have to behave far differently than in the past. One part of this shift is a change from the traditional bureaucratic approach focused on individual programs run by separate agencies to an approach that places increased emphasis on services and results. The new model implies organizing around customers and outcomes, not the traditional agency and programs. The Government Accountability Office (GAO) noted in a January 2003 report that "national goals are achieved through the use of a variety of tools and, increasingly, through the participation of many organizations that are beyond the direct control of the federal government." In other words, government is now turning increasingly to networks and partnerships to achieve many national objectives.

The value of collaboration as a new approach or tool for government managers is receiving increasing appreciation and notice throughout the federal government. GAO notes, "Promoting effective partnerships with third parties in the formulation and design of complex national initiatives will prove increasingly vital to achieving key outcomes..." The Office of Personnel Management's list of the core competencies for the federal senior executive of the future now includes not only the ability to work in a team environment, but also the ability to develop alliances with external groups (e.g., other agencies or firms, state and local governments, Congress, and clientele groups), and to be able to engage in cross-functional activities, as well as find common ground with a widening range of stakeholders.

## BENEFITS OF PARTICIPATING IN COLLABORATIVE PARTNERSHIPS

**QUESTION:** I'm not sure I know the answer to the "What's in it for me and my institution" question regarding participating in a collaborative partnership. How will I benefit from a collaborative partnership?

**ANSWER:** This is a perfectly reasonable question. In their report to the IBM Center, Robert Klitgaard and Greg Treverton answer that question from the point of view of a public executive who would ask, "What are the advantages and risks to us and our mission from various kinds of partnerships, structured how, managed how?"

In short, your job is to assess the pros and cons of potential collaborative partnerships and to determine whether the benefits outweigh the costs. On the benefit side, a nonprofit or private sector organization can potentially bring the following to the table:

- **Bring down costs.** In the case of nonprofits, one visible cost advantage is usually their access to volunteer labor, as well as potentially having innovative service delivery mechanisms.
- **Bring up quality.** According to Klitgaard and Treverton, there is some evidence that nonprofits deliver high-quality services because of their organizational ethos, which may be "more caring" and "mission-oriented" than other organizations.
- **Access hard-to-reach target populations.** Some nonprofits have earned the trust of hard-to-reach populations and thus provide access to such communities.
- **Provide complementary capabilities.** This is often a compelling reason for collaborative partnerships. The private sector can provide technical know-how to government, as well as additional resources via public-private partnerships (see page 102 for further discussion of public-private partnerships.)
- **Reallocate resources and gain economies of scale.** Partnerships provide the opportunity to reallocate resources among partners and potentially reap increased efficiencies by tapping the specialized capability of each partner. There also might be resulting economies of scale for various functions, such as planning, research, and capital equipment.

On the cost side, you should consider risks as well. A major negative is the so-called "hassle factor," which will be recognizable to anyone who has ever tried to coordinate activities among government agencies, let alone coordinate across sectors. Anecdotal evidence suggests that "no one likes to be coordinated."

There is also the danger that the costs of a partnership will be higher than anticipated. Klitgaard and Treverton write, "Some of these costs can be measured directly in currency, but others involve reduced effectiveness because of drains on managers or staffs. Creating a new partnership, organization, committee, staff, or council costs time and money. So do training a multipurpose worker, sharing data and reports and impressions, and designing and implementing joint incentive and evaluation systems."

There is no magic algorithm, according to Klitgaard and Treverton, which can add up all the considerations in creating a partnership and tell you whether a particular partnership is worthwhile. You face two challenges. The first is to seek out collaborative partnership opportunities for your agency to consider as an alternative way to provide services or to increase the impact of your agency on national problems. The second challenge is to weigh the costs and benefits of each collaborative partnership opportunity. You should expect to see an increased interest in collaborative partnerships over the next decade and to be confronted with an increasing number of such opportunities. Klitgaard and Treverton write, "... we are entering the era of hybrid governance. More and more issues raise the desirability not just of changing the boundaries of who does what ... but of considering something more: real partnerships."

## About Partnerships

From *Assessing Partnerships: New Forms of Collaboration*

by Robert Klitgaard and Gregory F. Treverton

Partnerships are emerging in many areas of public life, and they pose challenging questions for potential partners as well as for policy makers. For example:

- *Better schools* are being forged through partnerships of communities and education providers, including public schools but also the private sector. Results-oriented education demands excellent evaluation, including better measures of quality, the design of incentive systems, and the design and management of public-sector/citizen/private-sector interactions. But how might we assess the many kinds of partnerships that have been formed between businesses, the schools, and parents' groups?
- *Health care* will become fairer and more efficient by becoming more client driven, more sensitive to competition, and more accountable for results. Again, it becomes crucial to forge and manage effective partnerships among the public, private, and non-profit sectors, and the consumers of health care. But how might we assess the various kinds of institutional hybrids and overlaps that have arisen in our health care systems?
- From roads to water supply, from electrification to environmental projects, *infrastructure* increasingly involves partnerships of the public and private sectors in their design, finance, and management. Communities also play a key role in deciding what is done and how, and in monitoring progress. How should such partnerships be assessed?
- *International security* involves increasing sophistication in the ways of the private sector and in the management of military-business relationships such as privatization and outsourcing. "Operations other than war" involve the military in new kinds of relationships with civil society, government, international organizations, and business. Moreover, defense policy requires greater understanding of public-private collaboration to deal with terrorism, organized crime, and the vulnerability of the information infrastructure. What kinds of partnerships between businesses, communities, and government seem most promising for what kinds of security risks? What are the dangers and costs of such partnerships?



### What's Driving the Rise of Partnerships

The rise of hybrid governance can be traced to several sources. One predominant driver is technology, including the communications revolution, which enables partnerships within and across borders. While much has been written about the role of technology as a driver of change, another factor is equally critical—societal power is increasingly passing from government to the private sector, leading to a “market state.”

The circumstances of the market state are transforming the role of government—and the roles of business and civil society as well. The government of a traditional territorial state was a doer; students of public administration and public policy learned that government's choice was “make, buy, or regulate.” For tomorrow's public managers, the triad will be “cajole, induce, or facilitate” (or “carrots, sticks, or sermons”). Of course, all three may be involved simultaneously. To these emerging partnerships, government will provide its power to convene, its infrastructure, its legitimacy, and its information or intelligence. But it will often rely on business and civil society to provide public goods and services. The shift in mind-set this will require of government can hardly be overstated. It will not come easily to governments that they must work with, and indeed sometimes for, CARE and Amnesty International, not to mention Shell and Loral.

## SUCCESS FACTORS FOR COLLABORATION WITH OTHER ORGANIZATIONS

**QUESTION:** What has been learned about successful collaboration between organizations to accomplish large inter-organizational outcomes?

**ANSWER:** There is a growing literature on this topic. The bottom line is that projects can succeed if there is an “absolute unquestionable shared commitment to the goal.” In his report to the IBM Center (2003), Lambright writes, “When the goal is clear and worthwhile, coordination becomes possible. Although some turf battles may occur, the mission often overrides turf concerns.”

Lambright’s conclusion is based on his study of four large-scale research and development programs: climate control, nanotechnology, the International Space Station, and the Human Genome Project. While each of these programs was somewhat unique and scientific in nature, they all faced the challenge of coordination across several federal departments and agencies. In the case of the space station, international coordination was required as well. While your agency’s initiatives might not approach the scale of these projects, Lambright found that the lessons learned regarding working across boundaries are applicable to all organizations requiring the cooperation of others:

- **Set a clear and focused goal.** A key lesson is that ambiguous goals exacerbate confusion and conflict.
- **Emphasize common interests.** Agencies clearly need a positive incentive to cooperate. In an era of declining resources across government, additional resources are likely to be a key incentive. To get resources that can be appropriately shared across agencies and put to use, organizations must cooperate.
- **Attract political support.** This relates to the first lesson: A clear and focused goal will make it more likely to attract political support.
- **Enlist the White House and its support agencies.** In most instances, the support of the White House and the Office of Management and Budget (OMB) will be essential. OMB will be key in approving funds that can be used for interagency activities.
- **Employ strong but diplomatic leadership.** You must realize that separate agencies (like separate nations) have their own power bases, independent of any would-be coordinator like yourself. You are more likely to get joint action through consensual tactics rather than “strong arm” tactics.
- **Retain staff support.** You will not only need the support of the heads of your “partner” organizations, you will also need the support of staff who will be devoted to facilitating the joint activity, such as meetings and the preparation of interagency documents.
- **Use an external threat to foster internal cohesion.** The threat can often be domestic (as in the Human Genome Project and nanotechnology initiatives) or international (the space station), where competition was used to bring an interagency enterprise together. An effective leader stresses strength in unity and potential defeat in division.
- **Keep the end in sight, but be flexible to the means.** None of this will be easy and it is likely to be undertaken over a multi-year time period. Lambright observes, “The leader helps the enterprise to adapt while keeping the end in sight. The successful leader has a strategy, but is flexible as to tactics.”

## Implications of the Human Genome Project on Collaboration in Government

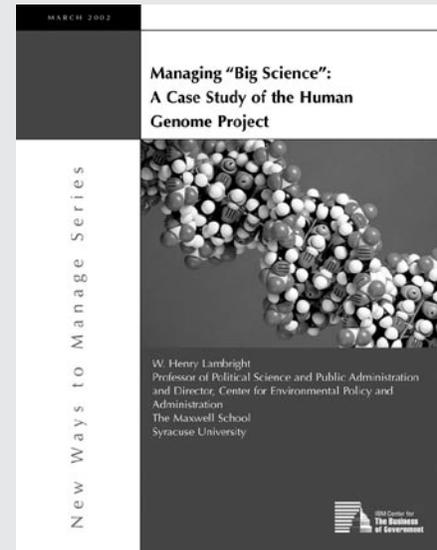
From *Managing "Big Science": A Case Study of the Human Genome Project*  
by W. Henry Lambright

Most observers of the Human Genome Project's (HGP) history concentrate on the contest between HGP and Celera. The record of HGP also shows the importance of partnership as instrumental in bringing about a capability to unravel the human genomic blueprint.

What HGP's approach suggests is that where very challenging objectives are involved, and talent is distributed widely, it may be necessary and desirable to link institutions into vast research consortia. More than one-third of HGP's budget came from sponsors other than the National Institutes of Health (NIH). Performers included national laboratories, universities, and researchers in six countries. Such partnerships have advantages and disadvantages. The negatives are obvious—the partners have wills of their own and may defeat or slow down the achievement of system-wide goals. There has to be a leadership structure of some kind to provide coherence, direction, and pace. The HGP model entailed a "lead agency" approach with NIH fulfilling that role by virtue of dominant funding, political support, and technical competence. While an agency may seek to lead, others may not necessarily follow. Partnerships require leadership of one kind or another, and sometimes a form that works at one point in a project's history may not at another. A mix of stability and change are essential in keeping partners together. Hence, the HGP model is one about which observers who prefer neat organizational lines, strong hierarchical management, and predictable strategy may find fault. There can be inefficiencies in partnership arrangements as consensus takes time to be forged. Nor are performers of R&D in universities or other entities always willing to go along with central decisions. Leadership often comes down to the power to persuade.

HGP seems to be a forerunner for what is to come. It reveals a type of large-scale "network" or "system" in which the leader (an organization or person) has power that is limited, but can be enhanced. It is not "power over," but "power with." Bargaining, negotiation, prodding, cheering, complaining, charming, coercing—all are techniques of management in partnership relations.

Looking forward, what great projects lie in the 21st century for which HGP is a possible model? One can imagine projects such as: the search for a new disease cure; a way to mitigate global warming, while still having energy to develop economically; a mission to Mars or one to divert oncoming asteroids; a technological front against terrorism; and others. Whatever lies ahead—and the unexpected is to be expected—HGP's lessons show that diverse institutions can be brought together in pursuit of bold goals that stretch beyond a decade. Partnership takes scientific vision and political will. But it also requires administrative leadership to get multiple, independent partners to adhere. It also helps if there is an urgency born of external competition and threat.



## SETTING GROUND RULES FOR COLLABORATIVE NETWORKS

**QUESTION:** Since networks don't "belong" to any one organization, how do I come to agreement with my network colleagues on governance issues to ensure successful outcomes?

**ANSWER:** The governance question is one of the great challenges confronting network managers. A key step is the management of the design of these networks. In their report to the IBM Center, Rosemary O'Leary and Lisa Blomgren Bingham describe the steps that network managers must undertake in negotiating agreement on the governance of networks:

- **Identify network members whose agreement is necessary.** O'Leary and Bingham note that in some cases, legislation or another formal document might define the composition of the network. More frequently, however, network managers must convene and attract members to the network.
- **Identify the scope and jurisdiction of the network.** In this step, the network manager must resolve questions regarding the authority, goals, and objectives of the network. The result of this step is often embodied in the network's mission statement.
- **Address issues of the network's legitimacy to do its work.** As emphasized by Milward and Provan (see page 150), this is a key responsibility of network managers. If the network does not derive its legitimacy from a legal mandate, it must build its legitimacy through the effectiveness and quality of its work. Transparency also assists in building legitimacy.
- **Negotiate the ground rules for future discussions.** Ground rules might include such issues as how the agenda will be set, how information will be shared, and how the network will work with the press and the public.
- **Negotiate the process governing exchanging views within a network.** Network managers must decide how they will engage each other, how frequently, and through which mediums. In addition to face-to-face meetings, networks can now use collaborative technology tools (such as online discussion forums) to do the work of the network.
- **Discuss administration and allocation of responsibilities.** All networks require some administration. This set of decisions will be guided, in part, by which governance option is selected by the network: self-governance, the lead organization approach, or the network administrative organization. This set of negotiations will discuss the issues of staff, space, computing resources, and cost allocation.
- **Negotiate the decision rules for bringing discussion on an issue to closure.** There are a variety of techniques to reach agreement on how the network will handle problems and conflicts as they arise during a project or initiative.
- **If some form of unanimity or consensus decision is chosen, identify a system for resolving impasse and deadlock in discussions.** It is important to also reach agreement—in advance—on how impasses will be resolved. A common technique is the use of knowledgeable third parties.
- **Identify a decision process or event for determining when the work of the network is complete and it is time to close it down.** Again, it is best to resolve such issues in advance if possible. O'Leary and Bingham write, "In the initial discussions on governance, it may be wise to address this question up front, and to identify an event objective that would represent the logical ending point for the network, if one exists."

## The Complex Nature of Network Conflict

From *A Manager's Guide to Resolving Conflicts in Collaborative Networks*

by Rosemary O'Leary and Lisa Blomgren Bingham

Managing and resolving conflicts in networks is no small task. Networks by definition are complex conglomerations of diverse organizations and individuals. The characteristics that add to the complexity of network disputes are numerous.

**There are multiple members.** Network disputes typically involve many individuals and organizations. Each member brings his or her own interests that must be met. If interests are not met, members may leave the network.

**Network members bring both different and common missions.** There must be some commonality of purpose to provide incentive for becoming a member of a network. Yet each organization also has its own unique mission that must be followed. These can at times clash with the mission of the network.

**Network organizations have different organization cultures.**

Culture is to the organization what character is to the individual. Just as each individual is unique, so is each organization culture. Diversity among network organizations' cultures may present conflict management challenges within the network itself.

**Network organizations have different methods of operation.** They will differ in degrees of hierarchy. They will differ in degrees of management control. These and other differences may affect what a network can and cannot accomplish and the speed at which it is accomplished.

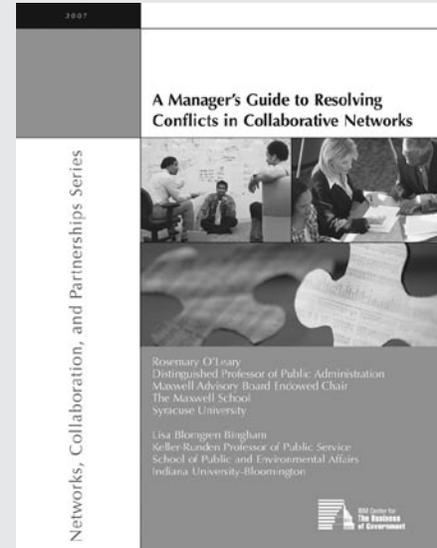
**Network members have different stakeholder groups and different funders.** To satisfy their diverse constituencies, network members will have different perspectives on appropriate direction and activities. Some of these preferences will overlap, some will not.

**Network members have different degrees of power.** Not all members of a network are created equal. Despite network rules that may give an equal vote to each member, some are typically more powerful than others. For example, in emergency management networks, oftentimes federal organizations are the beneficiaries of legislation that allows them to preempt local and state actions.

**There are often multiple issues.** Networks typically are formed to address complex problems that are not easily solved by one organization. Complex problems bring with them multiple issues and sub-issues. Multiple issues and sub-issues typically yield multiple challenges for conflict management.

**There are multiple forums for decision making.** Public decisions may be made by networks. At the same time, the same public issue may be debated and dealt with in the legislature, in the courts, or in the offices of career public servants. Whether and how a decision is made by a network can be a source of conflict.

**Networks are both inter-organizational and interpersonal.** The networks studied in the management literature typically are spider webs of organizations. But each organization typically is represented in the network by one or more agents of that organization. Just as networked organizations may clash, so too may networked individuals.



## ROLES OF MANAGERS IN COLLABORATIVE NETWORKS

**QUESTION:** If my managers and I decide that our agency should use networks to accomplish its mission, what are the tasks to be performed in “managing” the network we create?

**ANSWER:** Your first task will be to determine the type of network that can best assist you in accomplishing your agency’s mission. In their report to the IBM Center, University of Arizona’s H. Brinton Milward and Keith G. Provan describe four types of networks: service implementation networks, information diffusion networks, problem solving networks, and community capacity building networks. For a description of these networks, see the table on page 151.

The second task of your team will be to undertake the five key management responsibilities described by Milward and Provan associated with running public networks:

- **Management of accountability.** This is clearly an important step and is more difficult to accomplish than in a hierarchical organization where you have clear lines of authority and responsibility. In networks, this task involves negotiating who is “responsible” for which outcomes and who will “reward and reinforce” network goals.
- **Management of legitimacy.** Because networks are usually “external” to the traditional government hierarchy, Milward and Provan maintain that managers must gain legitimacy by convincing “outside groups that the network itself is a viable entity that can and will be effective in addressing and resolving complex problems.” Establishing legitimacy also involves attracting members to the network, generating good publicity, and securing needed resources.
- **Management of conflict.** Given that networks are usually voluntary, there will inevitably be some conflict and disagreement among members. Thus, a needed skill for 21st century managers is the management of conflict. In their report to the IBM Center, Rosemary O’Leary and Lisa Blomgren Bingham conclude that the most important skills for managers today are negotiation, bargaining, collaborative problem solving, conflict management, and conflict resolution.
- **Management of design.** This key responsibility involves determining which structural governance forms would be most appropriate for network success. This is a task on which many networks fail because a clear governance structure was never clearly articulated and agreed upon. Governance options for networks include self-governance, the lead organization approach, and the network administrative organization (where a distinct administrative entity is created).
- **Management of commitment.** This task involves making sure that the level of commitment is sufficiently high to ensure that network-level goals can be obtained.

You should caution your managers that they will need to change their management style when participating in networks. They must shift their role as a “hierarchical” manager to their role as a “collaborative” member of the network. When undertaking the above tasks, they must do so in a “collaborative” style rather than the traditional “command and control” style of bureaucracies.

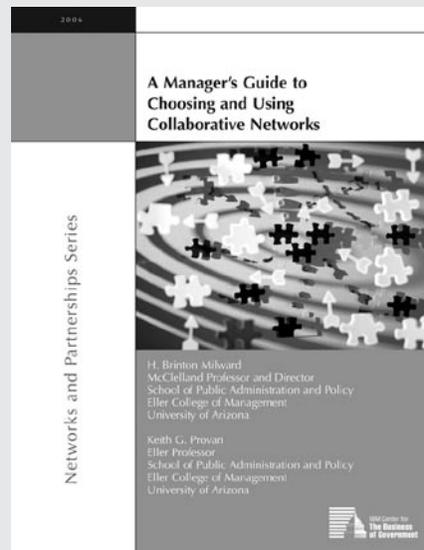
The above responsibilities fit well with the advice for network managers provided by Robert Agranoff in his report to the IBM Center: Be a representative of your agency and the network; take a share of the administrative burden; operate by agenda orchestration; recognize shared expertise-based authority; stay within the decision bounds of your network; accommodate and adjust while maintaining purpose; be as creative as possible; be patient and use interpersonal skills; recruit constantly; and emphasize incentives.

## Types of Public Management Networks

From *A Manager's Guide to Choosing and Using Collaborative Networks*

by H. Brinton Milward and Keith G. Provan

| Network Type                                | Key Characteristics  |
|---|--|
| <b>Service Implementation Networks</b>      | <ul style="list-style-type: none"> <li>• Government funds the service under contract but doesn't directly provide it (frequently health and human services).</li> <li>• Services are jointly produced by two or more organizations.</li> <li>• Collaboration is often between programs of larger organizations.</li> <li>• Horizontal management of service providers is a key task. These can be firms, nonprofits, or government agencies.</li> <li>• A fiscal agent acts as the sole buyer of services.</li> <li>• Key management tasks include encouraging cooperation, negotiating contracts, planning network expansion, etc.</li> </ul> |
| <b>Information Diffusion Networks</b>       | <ul style="list-style-type: none"> <li>• Horizontal and vertical ties between interdependent government agencies.</li> <li>• Primary focus is sharing information across departmental boundaries.</li> <li>• Commonly used for disaster preparedness and other "high uncertainty" problems.</li> <li>• Key network goal is to shape government's response to problems through better communication and collaboration.</li> <li>• May be either designed or emergent.</li> </ul>  |
| <b>Problem Solving Networks</b>             | <ul style="list-style-type: none"> <li>• Primary purpose is to help organizational managers set the agenda for policy related to a critical national or regional problem.</li> <li>• Focus is on solving existing complex problems rather than building relationships for future problems.</li> <li>• Often emerges from information diffusion networks.</li> <li>• Relationships may be temporary, to address a specific problem, and then become dormant after the problem is resolved.</li> <li>• May be either designed or emergent.</li> </ul>  |
| <b>Community Capacity Building Networks</b> | <ul style="list-style-type: none"> <li>• Primary goal is to build social capital in community-based settings.</li> <li>• Network purpose is both current and future oriented (i.e., to build the capacity to address future community needs as they arise).</li> <li>• May be created by participants (bottom-up) or by private and government funders (top-down).</li> <li>• Often involves a wide range of agencies with many emergent sub-networks to address different community needs that may arise.</li> </ul>  |



## COLLABORATING WITH CITIZENS

**QUESTION:** What are the different ways in which I can engage citizens?

**ANSWER:** To better understand how you and your agency can engage citizens, it is useful to segment the public into the five roles in which Americans interact with government:

- **As consumers of government information:** This is one of the oldest, most traditional roles of government—providing information for the public to use in a variety of ways. For example, citizens are major consumers of government statistics, as well as government information on safety and health.
- **As customers of government services:** During the 1990s, both the public and private sectors placed increased emphasis on “customers” and customer service. For example, in the federal government, agencies such as the Social Security Administration and the Centers for Medicare & Medicaid devoted increased efforts to improving the quality and responsiveness of their interactions with citizens.
- **As citizens participating in government decision making and policy making:** The challenge of this role involves moving beyond the traditional vehicle of voting as the primary mechanism by which citizens participate in government. New technologies—both face-to-face technologies and electronic technologies—have created new opportunities for governments across the world to engage citizens more directly in decision making and policy making.
- **As co-producers of services:** In this role, citizens are responsible for helping provide the services they use. In some cases, it can be serving as a volunteer in programs that help them. Neighborhood Watch programs are an example. In other cases, it is actually doing some of the “work,” such as centralized post boxes in neighborhoods where customers go to pick up their mail instead of having it delivered to their door.
- **As monitors of government services:** In this role, citizens participate in the measurement and reporting of government service efficiency and effectiveness. Citizens in some cities collect information on street and park cleanliness. In other communities, there are user councils for neighborhood and school services that provide oversight and feedback. These approaches are spreading to other levels of government as well.

In the past decade, an increasing trend has been the creation of broader direct engagement with citizens in informing and making decisions that affect them. Technology is beginning to create a new set of forums that allows this on a larger scale. This technology extends from the traditional forum for citizen participation—voting—to new and innovative approaches, such as the use of surveys, wikis, and blogs.

In their report to the IBM Center, Carolyn Lukensmeyer and Lars Hasselblad Torres describe the changing landscape of citizen involvement in government worldwide. They describe a shift from the traditional “information exchange” model to an “information processing” model of engagement, where citizens are no longer just consumers of government programs and policies but actively engage in shaping them. They describe a spectrum of citizen engagement models, ranging from informing citizens of planned efforts, all the way to empowering citizens to directly make decisions.

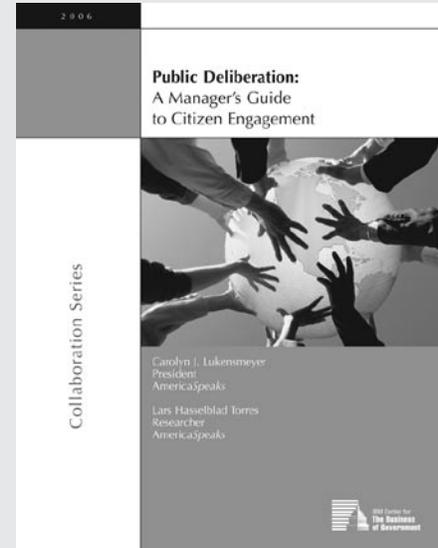
## What Is Citizen Engagement?

From *Public Deliberation: A Manager's Guide to Citizen Engagement*

by Carolyn J. Lukensmeyer and Lars Hasselblad Torres

Citizen engagement is part of a family of democratic reform ideas that includes public participation, public involvement, participatory democracy, deliberative democracy, and collaborative governance. When used in relation to the online environment, a new vocabulary is evoked, which includes e-democracy, digital democracy, e-government, and electronic governance. What is important to know about these terms is that, while they all make distinctions around the purpose, breadth, and techniques of participation, at base they recognize and build upon a fundamental right of all citizens to have a say in the decisions that affect their lives.

When we speak of citizen engagement, we will be referring to forums that bring the general, impacted public into partnership with decision makers through dialogue-based processes at points along the policy-development continuum, which is to say agenda setting, policy design, and implementation. In general, these kinds of forums are considered “deliberative spaces,” characterized by face-to-face and online forms of discussion.



### Characteristics of Information Exchange vs. Information Processing Models of Public Communication

| Information Exchange Models<br>(i.e., public hearings)  | Information Processing Models<br>(i.e., deliberative forums)   |
|---|--|
| Speaker-focused   | Participant-focused  |
| Experts deliver information   | Experts respond to participant questions   |
| Citizens air individual ideas and concerns  | Citizens identify shared ideas and concerns and assign them relative priority                                    |
| Participants share anecdotal evidence   | Participants use detailed, balanced background materials   |
| Often engages the “usual suspects”: stakeholders and citizens already active on specific issues | Reaches into diverse populations, including citizens not usually active, with efforts to reach under-represented |
| No group discussion of questions  | Facilitator-led small group discussion   |

Source: AmericaSpeaks.

## ACHIEVING NATIONAL OUTCOMES VIA COLLABORATION

**QUESTION:** My agency wants to work on national problems that are beyond our direct control. How should we go about it?

**ANSWER:** The challenge you describe is becoming common across all of government. While your federal agency may be facing limited federal resources, your agency is likely to be well positioned to establish a national network that can leverage the resources of nonprofit organizations and state and local governments. Because of anticipated future tight budgets, you should begin to reach beyond your own budget and programs under your direct control to form networks to work on national problems.

In his report to the IBM Center, John Scanlon describes how the Bureau of Primary Health Care (BPHC) in the Department of Health and Human Services created a national campaign to achieve a national goal: delivering quality health care to all American citizens and eliminating health-status disparities between vulnerable, uninsured Americans and affluent, insured populations. While the case study described is about health care, the model described is applicable to all government organizations faced with achieving national goals beyond their immediate reach. Success on national goals will require the creation of partnerships and networks working collectively to achieve a national goal.

Government now needs to increase its use of partnerships and networks to solve national problems. As noted above, there is little doubt that government budgets will continue to be tight in the years ahead. Thus, government must begin to marshal, coordinate, and inspire other organizations to collectively work on national problems. A key resource for you in creating these partnerships are the civil servants in your organization who can be creative in developing new approaches to national problems. The civil servants profiled in the Scanlon report all went beyond their job descriptions to provide leadership on a national goal in which BPHC had been legislated a relatively small defined role.

In describing how you and your agency can create networks to achieve national goals, Scanlon recommends the following actions:

- **Identify a national outcome that collaboration can help address.** In all agencies, there are government programs which are associated with higher national goals that, although beyond the reach of specific programs, can be achieved by a campaign deploying networks across the nation.
- **Begin to collaborate and network.** The challenge here will be to create a “space” where hierarchy can be set aside and collaboration can happen. As described on pages 148 and 150, government managers will need to begin to act like members of a network rather than traditional line managers.
- **Find the “hidden assets” in your organization.** In doing the “routine” work of your organization, it gains assets that are often not seen or acknowledged. Such assets include access to people in your field, knowledge of existing networks, influence, credibility, and a highly skilled, knowledgeable staff. All these assets can be used in creating a national network.
- **Operate in a campaign mode.** After you decide to create a national network to achieve a national goal, you must begin to work in a campaign mode. You must bring together a “campaign team” that can use social marketing and political skills to mobilize your network around a given national goal.

## Bold, Audacious Goals: The Engine of Leadership

From *Extraordinary Results on National Goals: Networks and Partnerships in the Bureau of Primary Health Care's 100%/0 Campaign* by John W. Scanlon

Bold national goals startle and draw resistance in organizations. Introducing them takes courage and the willingness to deal productively with the resistance. The resistance is natural. Bold national goals always define a kind of performance that managers do not want to be accountable for, and often defy conventional wisdom.

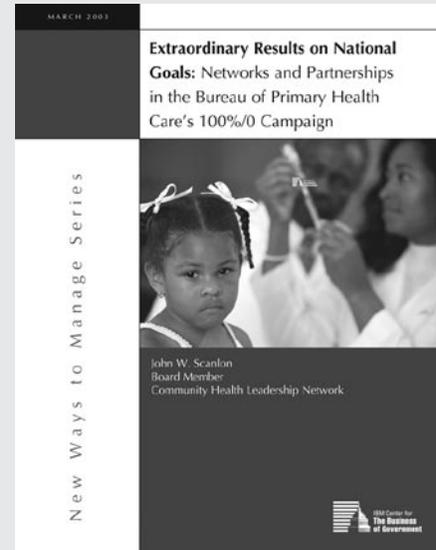
In 1998, a group of managers in the Bureau of Primary Health Care, Department of Health and Human Services, launched what they called 100% Access/0 Health Disparities Campaign. The vision was to have every community in America provide 100 percent of its residents access to quality health care. In addition, every community would be eliminating health-status disparities, the severe and pervasive gaps in health status that show up in a community when vulnerable, uninsured populations are compared with affluent, insured populations.

In the Bureau, conventional wisdom was against 100%/0. The prevailing view was that 100% access called for more federal funding. Most felt the real solution was universal insurance coverage. The Clinton administration had failed to get health care reform in its first term and that was a dead topic. How the nation closes the gap in access to health care was considered a policy issue beyond the domain of the Bureau. The conventional wisdom said there was nothing to be done by the Bureau.

The campaign goals also went far beyond the program goals the Bureau managers and staff traditionally set, ones they could deliver with the program resources for which they were given responsibility. For example, developing so many new center grantees and National Health Service Corps (NHSC) placement sites. The 100%/0 team was making itself accountable on goals for which it did not have the required resources and was committing to find and secure those resources. That was a different kind of work than the traditional grant and program administration of the Bureau.

In May 1999, the 100%/0 team presented its goals to the Bureau executives and managers in the strategic planning process. The group was startled by these goals and resisted them. "Some felt that it was imprudent to set such ambitious goals, others felt it was not appropriate work for the Bureau. They were being honest and protective of Dr. Marilyn Gaston [BPHC director] and the Bureau."

Reasonable counter proposals were made by staff. The first was to move to a pilot approach, which involved selecting two cities and focusing on them, then doing a demonstration and evaluating it to show it can be done. Another proposal was to focus on the 10 neediest communities. The team saw these reasonable goals taking them down a different path into project management. They acknowledged the advice but stayed committed to enrolling 500 communities.



## For Additional Information on Collaboration



### **From Forest Fires to Hurricane Katrina:** Case Studies of Incident Command Systems (2007) by Donald P. Moynihan

This report describes the success of the Incident Command System (ICS) as a hierarchical-network organizational model in emergencies. The report examines the Hurricane Katrina experience and identifies the conditions under which the ICS approach can be successful.



### **Delivery of Benefits in an Emergency:** Lessons from Hurricane Katrina (2007) by Thomas H. Stanton

The report examines the delivery of emergency financial benefits, such as pensions, Social Security, and Temporary Assistance for Needy Families, as well as payments relating to the disaster such as emergency food stamps, unemployment insurance, and emergency cash assistance. The report examines how government and non-government organizations worked together on providing emergency financial assistance in the aftermath of Hurricane Katrina.



### **The Blogging Revolution:** Government in the Age of Web 2.0 (2007) by David C. Wyld

The report examines the phenomenon of blogging, which is being used increasingly as a tool for promoting online engagement between citizens and public servants. The report describes how members of Congress, governors, city mayors, and police and fire departments are now engaging directly with the public via blogging.



### **The E-Government Collaboration Challenge:** Lessons from Five Case Studies (2006) by Jane Fedorowicz, Janis L. Gogan, and Christine B. Williams

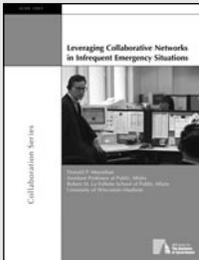
This report examines five case studies of collaboration in the use of information technology. The authors assess the political, administrative, and technical challenges that occurred in each of the case studies and describe challenges faced and lessons learned. The report offers 10 recommendations to improve future cross-organizational initiatives that require using a common information technology system as the backbone of the collaborative effort.



### **The Quest to Become "One":** An Approach to Internal Collaboration (2005) by Russ Linden

This report examines the efforts by three federal organizations—the Department of Veterans Affairs, the Department of Transportation, and the National Aeronautics and Space Administration—to move in greater concert toward the achievement of organizational goals. The three initiatives—One VA, ONE DOT, and One NASA—each faced distinct challenges. The report examines lessons learned from these experiences.

## For Additional Information on Collaboration



### **Leveraging Collaborative Networks in Infrequent Emergency Situations** (2005) by Donald P. Moynihan

This report reviews a highly successful model of network collaboration that contained the outbreak of Exotic Newcastle disease (a highly contagious disease among poultry) in California in 2002. The report describes the successful use of the incident management system approach and recommends its application in all infrequent emergency situations.



### **Cooperation Between Social Security and Tax Agencies in Europe** (2005) by Bernhard Zaglmayer, Paul Schoukens, and Danny Pieters

This report describes the relationship between social security and taxation organizations in nine European nations—Austria, Belgium, Denmark, Estonia, Germany, Ireland, Italy, the Netherlands, and the United Kingdom. The report presents a series of observations about the potential of increased cooperation between social security and taxation organizations in the years ahead.



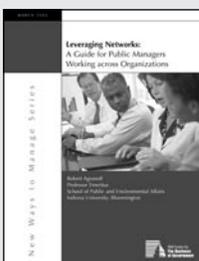
### **Restoring Trust in Government: The Potential of Digital Citizen Participation** (2004) by Marc Holzer, James Melitski, Seung-Yong Rho, and Richard Schwester

This report presents three case studies which illustrate how government organizations are now using technology to enhance citizen participation. The report presents examples of how citizens can engage in a two-way dialogue on public issues and describes tools which allow citizens to participate in a dialogue with fellow citizens and government. This report presents recommendations to policy makers and government executives on ways they can increase the voice of citizens in the decision-making process.



### **Collaboration and Performance Management in Network Settings: Lessons from Three Watershed Governance Efforts** (2004) by Mark T. Imperial

This report describes how performance measures and monitoring processes influence the collaborative processes used to develop and implement watershed management programs.



### **Leveraging Networks: A Guide for Public Managers Working Across Organizations** (2003) by Robert Agranoff

This report examines the new challenges faced by public managers as they participate in collaborative undertakings with other governments and the non-governmental sector. The lessons presented in the report are derived from experiences in several Midwestern states, where many established networks operate.

## For Additional Information on Collaboration



### **The Challenge of Coordinating “Big Science”** (2003)

by W. Henry Lambright

This report examines the increase in cross-agency research and development projects. These initiatives include information technology, nanotechnology, climate change, global change, and bioterrorism. The aim of these and other interagency programs is to draw on the special skills of each organization and weave them into a whole that is greater than the sum of the parts.



### **Using Technology to Increase Citizen Participation in Government:**

**The Use of Models and Simulation** (2003) by John O’Looney

This report discusses the use of decision support tools by citizens and community leaders to improve public decision making. The report identifies opportunities, examines existing attempts to use technologies, and presents research on simulation technologies designed to help citizens participate more fully in decisions about sustainable development.



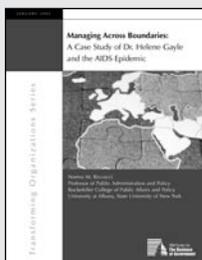
### **Public-Private Strategic Partnerships: The U.S. Postal Service-Federal Express Alliance** (2003) by Oded Shenkar

In recent years, postal services worldwide have been transformed, adopting private sector operational modes and efficiencies. This report reviews postal service alliances around the world to identify the best practices to guide future alliances. Postal services are now working with for-profit firms in delivery, logistics, and freight forwarding, and have established strategic alliances with them.



### **Communities of Practice: A New Tool for Government Managers** (2003) by William M. Snyder and Xavier de Souza Briggs

This report documents the creation and implementation of several intergovernmental “communities of practice.” It traces the history of these networks and documents their structure, activities, and outcomes, as well as identifies a number of critical success factors related to these groups. Case studies include SafeCities, Boost4Kids, and 21st Century Skills.



### **Managing Across Boundaries: A Case Study of Dr. Helene Gayle and the AIDS Epidemic** (2002) by Norma M. Riccucci

This report profiles Dr. Helene Gayle, former director of the National Center for HIV, STD, and TB Prevention at the Centers for Disease Control. The report is a case study of a public sector leader managing across boundaries. Dr. Gayle was responsible for working closely with the United Nations and other international organizations and nations in combating the AIDS epidemic.

## For Additional Information on Collaboration



### **Leveraging Networks to Meet National Goals: FEMA and the Safe Construction Networks (2002) by William L. Waugh, Jr.**

This report analyzes the Federal Emergency Management Agency's (FEMA) work with the private sector in implementing FEMA's goals via public-private partnerships. The project includes an assessment of FEMA's Project Impact Program. The report assesses and describes the achievement of national policy goals through private sector partnerships.