# STRATEGIC PARTNERSHIPS

HOW TO CREATE AND MAINTAIN INTERORGANIZATIONAL COLLABORATIONS AND COALITIONS

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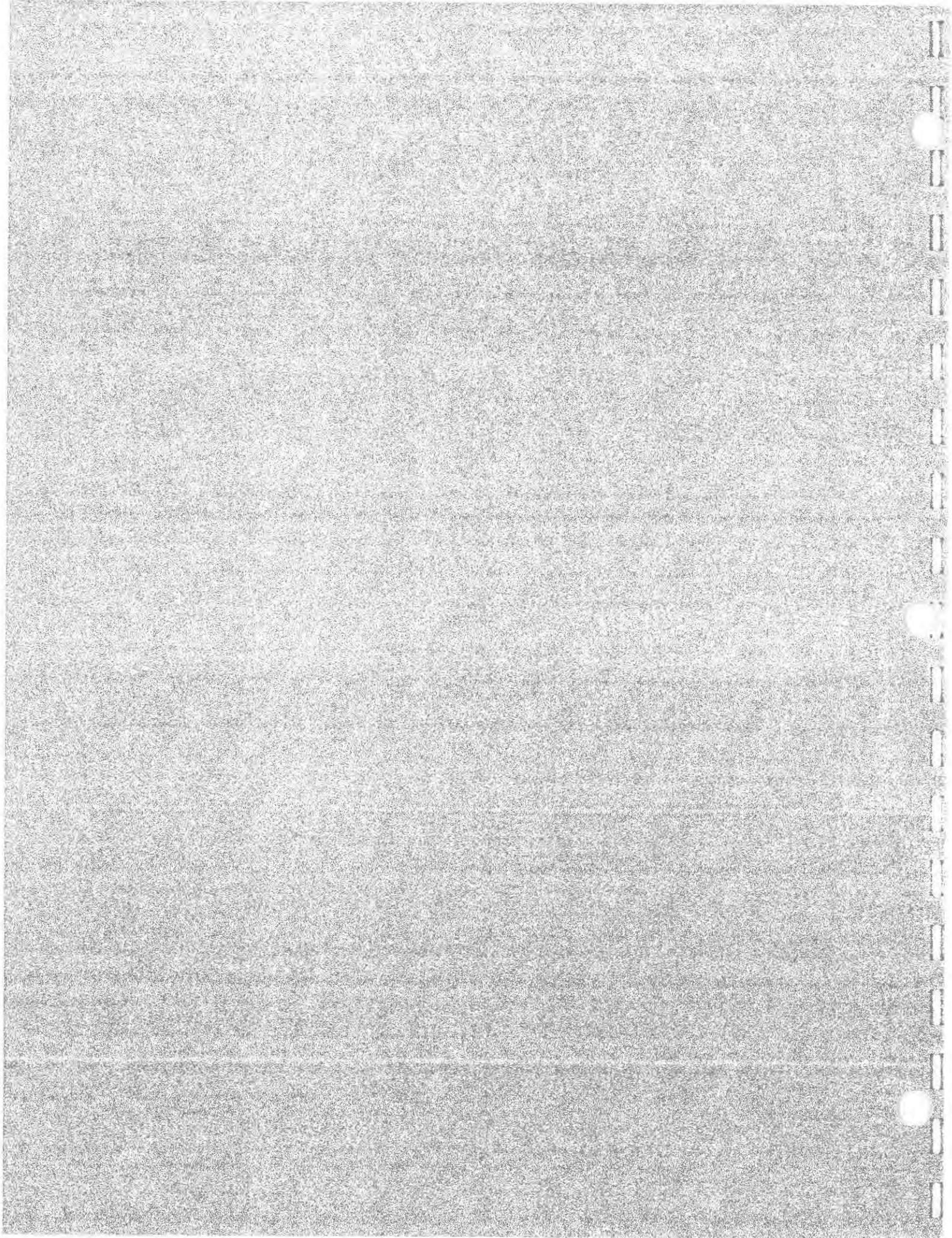
AUTHORS' NOTE

Many people have been helpful in inspiring, informing and revising the separate pieces which comprise this Workbook. We would like to give special thanks to Kate Adams for editorial and design assistance, and Paula Diamond for computer analysis. Thanks also to the coalition and collaboration leaders who participated in our workshops and consultations since 1985, whose practice wisdom has enriched and deepened the materials produced here.

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BACKGROUND AND PURPOSE

THE COALITION PROJECT

The Coalition Project of the Education Center for Community Organizing at the Hunter College School of Social Work, begun in 1985, has developed a model for effective coalition building that draws from both theory and practice. The model was made possible, in part, by two grants from the Research Foundation of the City University of New York. Overall, some 120 coalitions experts have contributed their wisdom to this applied research through interviews, focus groups and surveys. Our original materials have been enhanced by the input of hundreds of organizations who have attended our training workshops and to whom we have provided technical assistance.

In 1992, The Coalition Project subcontracted with the Northern Manhattan Improvement Corporation under a grant from the NYC Community Development Agency to provide training, technical assistance and publications on collaboration. This Workbook is one of these publications. This is the second version of an earlier set of materials on coalition-building that the authors produced through the Education Center for Community Organizing. This Workbook contains new information as well as portions of the earlier work that have been revised based on use in the field and critiques from other experts.

This Workbook builds on the professional literature on collaborations and coalitions, and reflects the actual experiences and suggestions of coalition practitioners. Its purpose is to provide a conceptual overview and practical tools for building and sustaining effective collaborations, coalitions and strategic partnerships.

If you are involved in a collaboration or coalition as a leader, member, staffperson, or funder, or if you are a teacher or trainer covering this material, you will find this Workbook useful. Special applications for the Workbook contents are described below.

TECHNICAL ASSISTANCE AND TRAINING

The authors are also available to provide training or consultation to organizations, funding sources, new or experienced coalitions and collaborations, as well as teachers and trainers who are incorporating these topics in their work. To discuss your organization's needs, call us at ECCO: 212 452-7112, or Beth Rosenthal's office at 212 ~~925-8031~~. 673-9118.

HOW TO USE THIS WORKBOOK

CONTENTS

INFORMATION

This document is a **work in progress** that contains descriptive information and recommendations for building effective coalition and collaborations. Over time, we had produced separate pieces on different topics in response to our clients' requests; in this Workbook, we have incorporated these pieces into one document. As a result, some sections of this Workbook are more detailed than others. There is, for example, more information about tasks in the first *formation* stage than there are on later stages of collaboration development. However, because developmental stages are not discreet, tasks begun in the formation phase are sustained and revisited throughout the life of the collaboration. Thus these materials will be useful even to more advanced coalition practitioners.

The sections in this Workbook are each free-standing and can be used independently or in sequence.

SEQUENCE

This Workbook is organized to first introduce readers to coalitions and collaborations and then to follow the sequence of their development.

Section I provides an overview of issues inherent in all collaborations and coalitions.

Section II covers the developmental stages and specific tasks and challenges at each stage.

Section III discusses collaboration challenges and achievements, and includes suggestions for managing dynamic tensions, collaboration success, collaboration failure and the collaboration assessment process.

Section IV contains practical information on different types of collaboration -- service integration, conflict resolution and comprehensive community planning.

Section V is a list of some helpful references on the topic.

The **appendices** include sample materials developed by / for other collaborations, as well as a *Self-Assessment Tool* for direct application to a specific collaboration or coalition.

FORMAT

Each Section begins with an *Overview* and then includes descriptive material on the topics. It is followed by *Review Questions and Exercises* to assist readers in reflecting on the material, or incorporating it into their work. The *Collaboration / Coalition Self-Assessment tool* at the end of the document can help groups to focus on different dimensions of their own coalition development, and identify areas which may need improvement.

TERMS

Throughout this Workbook we use the terms *Coalition* and *Collaboration* interchangeably. The recommendations and descriptions generally apply to both forms of interorganizational structures.

USING THIS WORKBOOK FOR DIFFERENT KINDS OF STRATEGIC PARTNERSHIPS

BUILDING EFFECTIVE COLLABORATIONS

Much of this Workbook is written as a prescription for effective coalition-building. The ideas here have been gathered from an extensive review of the literature (including all the items listed in the *References* section presented here) plus interviews, focus groups, workshops and consultations with hundreds of collaborations. We apologize for the frequent use of the word *"should"* -- as in *"you should do this"* -- but the impetus for this Workbook was to share advice on how to do it right. Indeed, this Workbook does contain many suggestions. If the reader applies the recommendations that appear in each chapter, their collaboration is more likely to succeed.

IDENTIFYING DIFFERENT TYPES OF COALITIONS

Because this Workbook assumes that most collaborative dynamics and functions are the same, regardless of the purpose of the collaborative effort, we have not organized the material according to different coalition types or functions. *Chapter 2: Definitions* lists eleven different definitions that are used to describe interorganizational efforts. *Chapter 6: Purpose, Goals, Strategies and Actions,* outlines four types of goals for coalitions addressing social change, service coordination or resource enhancement. *Chapter 7: Structure and Process* outlines 13 types of organizational structures. *Chapter 9: Tasks of Collaboration Implementation and Maintenance*

describes developmental tasks in these phases, and alludes to three purposes of collaboration: service integration, advocacy and planning. In the course of our recent consultation and training, we have found it useful to develop the materials in *Section IV: Applications of Collaboration,* which highlights three common collaborative efforts -- *Service Integration, Conflict Resolution, and Comprehensive Community Planning.* The fourth major application for coalition-building -- *social change/ advocacy* -- is reflected in many of the materials in this Workbook. It was our interest in coalitions as vehicles for social change that led us into this work. Social change is implicit in our analysis and conceptual framework, and remains a vital application of the coalition form.

SPECIAL APPLICATIONS

TRAINERS and TEACHERS

Course syllabi and training materials for sessions on collaborations can be enhanced by including relevant sections of this Workbook. Some exercises and discussion questions may be incorporated in your own training design. Since this Workbook is copyrighted, we would appreciate being credited whenever these materials are reproduced (see note on inside front cover). In addition to the original material contained here, *Section V: Recommended Readings* lists dozens of articles and books from various fields that relate to coalition-building and its many applications.

LEADERS AND MEMBERS OF COLLABORATIONS

These materials can help to provide information, ideas and focus to leaders or members of collaborations. You can locate your type of collaborative effort or your collaboration's stage of development, and focus on the sections most relevant to your group. If you are beginning a collaboration, the chapters under *Section II: Formation* will be most relevant. Collaborations which have already selected goals and recruited members may be grappling with issues in *Chapter 9: Collaboration Implementation* and *Maintenance,* or *Chapter 13: Managing Dynamic Tensions.* *Chapter 11: Collaboration Leadership* also will be particularly useful, as will some of the sample materials in the *Appendices* and the *review questions and exercises* throughout this Workbook.

STAFF OF COLLABORATIONS AND COALITIONS

Staff may find everything useful (or so we've been told by our clients). We particularly recommend *Section II: Developmental Phases* to help pace your collaboration and ensure that it is addressing the key challenges and tasks of each phase of growth; and *Section III: Collaboration Challenges and Achievements* - to provide tools and guidelines. *Chapter 8: Staff Functions and Resources for Effective Collaborations* could be used to clarify and develop staff roles and relationships with leaders and members.

FUNDERS OF COLLABORATIONS

Government and private funders who are supporting coalitions or collaborations may want to use these materials as a guide for a) structuring their Requests for Proposals and funding guidelines, b) providing technical assistance to grantees, and c) developing measures for evaluating collaboration effectiveness. Understanding the collaboration model will help you to provide guidance to your grantees and structure your projects and prevent or avoid certain known pitfalls. *Chapter 10: Sustaining the Effort: Fundraising for Coalitions and Collaborations*, and *Chapter 16: Collaboration Assessment* will be particularly relevant.

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SECTION I: OVERVIEW OF COLLABORATIONS AND COALITIONS

This section provides an overview of issues inherent in all collaborations and coalitions. It includes three chapters:

Chapter 1. ADVANTAGES OF BUILDING COLLABORATIONS

An introductory piece describing the major reasons why organizations find it advantageous to build collaborations and coalitions.

Chapter 2. DEFINITIONS OF INTERORGANIZATIONAL FORMS

Eleven definitions of interorganizational forms.

Chapter 3. SOME ESSENTIAL COMPONENTS OF COALITION DEVELOPMENT: THE FOUR C'S

The Four C's -- conditions, commitment, contributions and competence -- are vital elements to consider in any collaborative effort. This chapter presents a unique conceptual framework for beginning or improving a coalition.
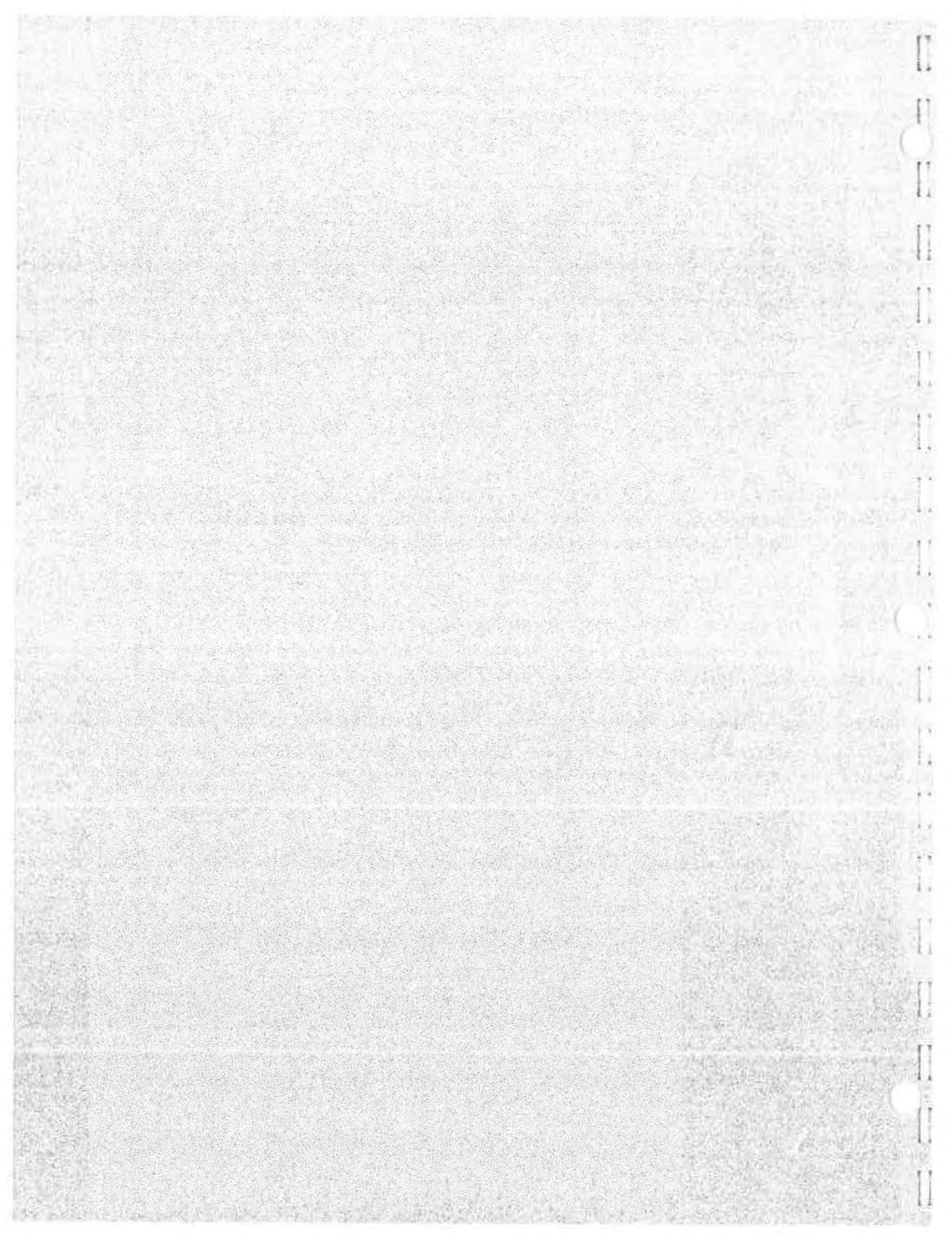
ADVANTAGES OF BUILDING COLLABORATIONS[1]

INTRODUCTION

Community-based organizations can have a greater impact on their issues by joining forces and building collaborations. Collaborations are increasingly recognized and used as mechanisms for service coordination, problem-solving, advocacy and social change. Collaborations are organizations of independent organizations which engage in collective activity to accomplish specific projects or to influence external institutions while maintaining their own autonomy.

The recent proliferation of collaborations reflects the reality that organizations in the 1990s must function with increasing sophistication and interdependency in order to be effective. Local issues usually represent larger patterns; social and economic problems affecting individuals and communities are often intertwined and compounded; and funding for advocacy and direct services is increasingly being allocated to entire neighborhoods or program consortia rather than individual agencies.

The sheer number of organizations and funding streams handling different issues demands new strategies for advocacy, service delivery and information sharing. Complex, overlapping issues and constituencies require connections between diverse organizations and multiple, rather than single approaches to problem-solving. Organizations recognize that they must coordinate and cooperate with each other in order to be effective, address service gaps, avoid duplication, and ensure their own survival. In the political arena, collaborations have become the locus of social movement activity -- as vehicles that can incorporate the multiplicity of players and perspectives. While individual groups can organize to get a bigger piece of the pie, collaborations can expand the pie for everyone.

Collaborations are most useful when there are a proliferation of different organizations operating in a field or organizing on the same issue -- particularly when those organizations display differences in amounts of power and effectiveness. Collaborations tend to form under certain conditions: when organizations want to achieve a bigger impact on an issue than they could by working alone, when they want to work on an issue but do not want to allocate a lot of their resources to it, when they seek protection or less visibility, or when they need a more diverse base in order to win.

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[1] This article has been excerpted from one that was published in Michael Austin and Jane Lowe, Editors, (1994). Controversial Issues in Communities and Organizations. Boston: Allyn and Bacon Publishers.

Collaborations unite diverse actors and organizations in a geographical or functional community without forcing people to feel like "one big happy family" or to expand their own organization beyond its natural boundaries. Structured correctly, collaborations are open and egalitarian, and appeal to and involve many different stakeholders -- individuals, grassroots groups, religious organizations, academic institutions, business, government, labor, community-based organizations, and others. They are also viable multi-cultural efforts integrating minority and majority groups, new immigrants and more settled residents, traditionally powerless groups and those more powerful.

Collaborations have accomplished impressive outcomes which are virtually impossible for organizations to achieve singly. They have been found to be highly effective in addressing a broad range of issues including education reform, child welfare, housing justice, economic development, health care, environmental protection, , women's rights, immigration policy, racism, domestic violence and more. Such collaborations have developed and strengthened social services, changed policies, introduced or defeated legislation, produced material gains through the welfare system, created new funding streams for emerging problems, bolstered local economies, and significantly changed public awareness about critical social issues.

ORGANIZATIONAL DEVELOPMENT

Any organization today operates in a field with others who share its community location, target population, issue, or funding source. Organizations can increase their effectiveness by recognizing and maximizing these connections. Collaborations provide a channel for ongoing communication and coordination among service providers, funders, researchers, social change allies and targets, government agencies and elected officials. Organizations can develop a greater understanding of client and community needs and existing resources by seeing the whole picture. Collaborations also engender an increased sense of the larger spheres in which organizations operate and give them access to key allies, players and targets they might not meet otherwise. Networks, exposure to new ideas and mentoring are among the secondary benefits of regular intergroup involvement.

Collaborations are often preferred vehicles for intergroup action because they preserve the autonomy of member organizations while providing the necessary structure for unified effort. Enabling people to link special interests, share information and diverse expertise, collaborations permit organizations to clarify their differences, and incorporate various skills, levels of experience and roles

for participation. They allow groups who are at different stages of their own internal development to have an equal say.

Tangible benefits also accrue from collaboration. Organizations can continue to focus on what they do best and preserve their own resources while relying on others for related tasks and expertise. Moreover, by sharing their own knowledge and experiences organizations increase their credibility and visibility. Through collaborations, organizations can also acquire power, information, publicity, new perspectives, contacts, resources, and access to other constituencies. Collaborations enable organizations, without straying from their mission, to enter creative new ventures and pilot projects with other groups, diversify projects, membership and constituencies.

SERVICE COORDINATION AND EXPANSION

Government and private funders recognize the need for collaboration to minimize duplication and increase coordination among service providers with shared target populations. Funders have also formed their own collaborations to focus on certain issues or geographic areas they support in an effort to coordinate and evaluate the collective impact of their grants.

Collaborations encourage a view of families and communities that is holistic and comprehensive. Knowledge of target populations and areas is amplified by information-sharing through collaborations of activists, neighborhood residents, service providers, researchers and evaluators. Families are better helped by greater service coordination or case management at the provider level than by a panoply of services from different providers, each operating in ignorance of the others, developing fragmented treatment plans for problems which are really indivisible, and multiplying paperwork and bureaucracy. Similarly, underserved communities require many different supports for stabilization and revitalization. Collaborations can be vehicles for communities to engage in comprehensive planning and development efforts that integrate different resources, assets and perspectives. They can help providers and consumers identify and advocate for needed services and programs, and result in improved material conditions and resources.

POLITICAL ACTION

The temporality, mutability and flexibility of coalitions has made them vehicles for social change activists and human services since the 1960's. Through such collaborations social action organizations with restricted agendas can link their

work to broad scale mobilization efforts. Coalitions and collaborations allow groups to pursue bigger targets on a larger scale, address power inequities, shape public ideology, and build solutions to complex problems together. Bridging differences, collaborations can help diverse groups to develop a common language and ideology with which to shape a collective vision for social change. They enable groups to mobilize quickly in case of community emergencies which require collective response. Such beginnings often lead to lasting coalitions to ensure that external targets remain accountable. By using collaborations to engage in political advocacy, organizations share the risks, gain some measure of protection and take a stand without necessarily being publicly identified. Collaborations can advance the social change agendas of individual organizations, by mobilizing action and support, attracting resources and visibility for issues.

Gaining experience in building collaborations brings leadership development to another level, analogous to the difference between building a family and being an active part of the community. Through collaborations people learn to negotiate a variety of resources and to shape collective plans for bigger arenas and multiple issues. Participants develop complex skills that deal with the interface between their own organization and other groups: mediating, bargaining, coordinating disparate components, consensus decision-making, multi-level communication. They also acquire an ability to handle simultaneously several types and levels of mobilization: moving on an issue while keeping the collaboration together **and** remaining accountable to the broad base represented by its member organizations.

CONCLUSION

The increased use of collaborations by a wide variety of practitioners for the purposes of organizational development, service coordination and expansion, and political action demonstrates the relevance of this form for organizational effectiveness. Knowledge and experience in building collaborations is increasingly necessary for professional growth, agency survival, program development and organizational credibility. Collaborations are where the action is now politically and economically. With scarce resources for organizing, increased technology for networking, and greater efficiency through coordination, we will be seeing more collaborations. In addition to being **a means** of accomplishing specific goals, long-term collaborations can become **models** of interorganizational cooperation and understanding. These models embody a collective vision of justice and equality, and create a new landscape for organizing, and organizational and community development.

DEFINITIONS OF INTERORGANIZATIONAL FORMS

There are many ways for organizations to work together.   The list below defines some of the differences in these approaches, ranging from least to most integration and involvement.   These definitions pertain to the processes of interorganizational work.   Outcomes of such processes may include: development of joint projects, services integration, political or advocacy campaigns, organizing drives,   conferences, comprehensive community planning, fund development and more.

- **ENDORSEMENT**

  Approval or support of a concept or action that has already been conceptualized or completed by another organization.

  Example: letters of support; signatures on a petition

- **NETWORK**

  A loose, open system, covering a broad base of agencies, organizations, or individuals with similar interests. Multiple parties who communicate ideas and information, and concerns. Networks entail an informal, non-binding relationship, where the interchange does not result in creation of a formal organization which sets policy or develops ongoing programs.

  Example: telephone trees; computer bulletin boards

- **ALLIANCE**

  A temporary but specific connection between organizations, created to advance a cause, promote public awareness, provide mutual support, or demonstrate solidarity. An alliance does not usually bind participating groups to one method of working together or setting policy for the whole. It provides a loose structure for groups to share information, coordinate around designated issues, or to take a united stand or position.

  Example: groups developing a joint policy statement or press release

- **TASK FORCE**

  A group of different people, departments or agencies who work collectively to conduct research, solve a problem or develop a set of recommendations. This is a time-limited, task-specific collaborative effort. Task forces may be appointed by leaders (like special commissions), or voluntarily formed by those with a stake in their work.   Often the work of a task force is preliminary or tangential to the work of a more permanent body, such as a full coalition or governmental agency.

  Example: fact-finding effort to study police brutality; review of operating procedures

- **CO-SPONSORSHIP**

  Like a partnership (**see** below) , co-sponsorship is a joint venture. At least two organizations lend their name and resources, including money and personnel, to a specific event or project. Co-sponsorship is usually limited to one single event or project.   There is no intermediary organization created. Ownership of the project rests with the joint sponsors.

  Example: organizing a conference

- **PARTNERSHIP**

  At least two organizations join together to develop a project where each participating organization has equivalent responsibilities, equal ownership of the results and products, and equal liability for any problems. There is no intermediary body coordinating the work of the partners, although the product of their work is usually something beyond what the partners could produce singly.   Partnerships are similar to collaborations in that they usually address a specific issue or task and their work is ongoing. A partnership is more formal than co-sponsorship, because Partners are creating a visible link between their organizations, and a product that reflects their joint venture.

  Example: Business roundtable to support education

- **CONSORTIUM**

A group of individuals or organizational representatives acting " in consort" with each other. Participants meet together regularly, usually for a fixed period of time, to share information, engage in an educational purpose, or conduct joint projects. This is only slightly less deliberate in purpose than a collaboration, but more formal in structure than a task force. Consortia are generally sponsored by an organization which assumes the role of convener and takes responsibility for their coordination. This is a rather loose, voluntary effort with flexible membership requirements, which requires no independent governing body, no expectations of mutual accountability or equal contributions.

Example: a group of opinion leaders and experts meets to hear speakers and discuss the impact on health care reform on different sectors of society

- **COLLABORATION**

A fluid, emergent *process* by which several agencies or organizations undertake a joint initiative, solve shared problems, or otherwise achieve common goals. Collaboration is characterized by mutual benefit, interdependence, reciprocity, and exchange. Organizations agree to work together for specific purposes and tangible outcomes, while maintaining their own autonomy. Ideally, collaboration entails a common vision, a jointly developed structure and sharing of work, resources and rewards. Collaboration may also be a *structure* of cooperation that is nonhierarchical, with lateral linkages, shared responsibility, mutual authority and accountability. Collaboration participants usually have specific assignments, and funded collaborations entail collaboration agreements among those groups receiving subcontracts.

Example: community-wide planning; joint projects; multi-site programs

- **COALITION**

An organization of independent organizations which share a common social change goal, and join forces to influence external institutions, while maintaining their own autonomy. Coalitions are usually formed for a limited or specific purpose and ultimately terminate or transform themselves into other forms of organizations when that purpose is met. Coalitions are characterized by both conflict and cooperation, and inherently experience dynamic tensions. Unlike collaborations, coalitions may be either short-term or long-term, single or multi-purpose, approaching several goals

simultaneously.   Participating organizations can make different types of contributions to the coalition, according to their own expertise and resources.   The coalition may have a central coordinating staff composed of volunteers from member agencies, or paid staff working for the coalition as a whole.

Example: advocacy to increase funding for domestic violence; joint policy development or legislative change

- **FEDERATION**

A membership association of organizations established to centralize certain common, beneficial functions. Federations frequently handle fundraising, publicity, training, lobbying, information processing, and policy development, and determine behaviors and resource allocation for their membership.

Example: Associated YMCA's; United Ways

- **ORGANIZATION**

Many organizations call themselves coalitions, networks, etc. although they are, in fact, are structured as single organizations. Regardless of these names, single organizations are not, by definition, *inter*organizational. It is important to distinguish between an entity with shared leadership, accountability and decisionmaking (e.g. a collaboration or coalition) and an *organization*. An organization is an entity with *one* governing board and mission, one Executive Director or equivalent, and *one* mandate for staff. Management and decisionmaking may be either collectivized or hierarchical; there may be many committees or departments or just one. There may be a variety of shareholders and investors, or the group may be operated as a not-for-profit. Work may be done by teams, units, divisions in many formations. The key distinction here is that there is a *single* charter, purpose, and method of decisionmaking.

Example: Any tax-exempt, not-for-profit organization, corporation, or community based organization

COLLABORATION MODEL

Collaboration

Staff

Funding Source

$$$

lead agency
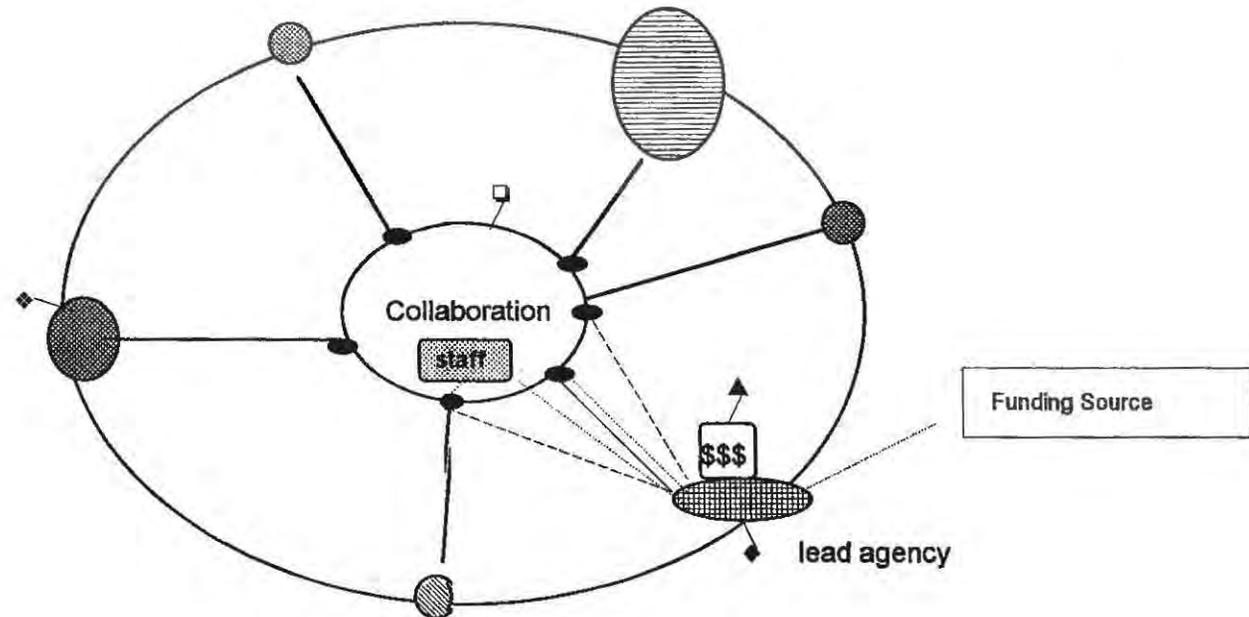
❖ Six organizations are pictured here in a collaboration -- each organization is represented with a different size and pattern.

❑ These separate organizations are connected through their representatives, who form the inner circle of the actual collaboration.

▲ Funding in this example comes to the collaboration from a funding source through a lead agency. Dotted lines show funding connections between the lead agency and two other organizations participating in a specific funded project. Funding in this example also pays for the staff who are accountable to the full collaboration.

◆ The Lead Agency, regardless of its role as a funding conduit, is still an equal member of the collaboration, although it takes on additional responsibilities.

SOME ESSENTIAL COMPONENTS OF COALITION DEVELOPMENT

THE FOUR "C"s [1]

Four key components of coalition-building --**conditions, commitment, contributions and competence** -- must be assessed at each stage of development. First, political, economic and community **conditions** must be right. Second, there must be a core group of people **committed** to achieve the goal. Third, they must be able to **contribute** and/or recruit from others the necessary ideology, power, and resources to reach the goal; and fourth, have the **competence** to manage both the social change strategy and the coalition's internal development.

CONDITIONS

Conditions must be right in order to successfully form a coalition or collaboration. Some conditions to consider include:

- Ability of the initiating groups to muster broad support
- Community climate and receptivity
- Feasibility of winning
- External political and economic realities
- Past experiences with interorganizational relationships
- Past relationship with social change target
- The timing of coalescence and activities
- The urgency of the social change goal
- Relevance of the issue
- Type and level of resources available to the participating organizations

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[1] Adapted from Mizrahi, T. and Rosenthal, B. (1986). _Social change coalitions: toward a synthesis of theory and practice_. Unpublished Paper.

Once a coalition begins, other conditions become pertinent:

- Is the relationship between the coalition and the social change target adversarial, neutral or advisory?

- Does the goal generate momentum, support and sustained participation amidst changing conditions?

- Do external or internal factors hinder or enhance participation by collaboration members?

- Is the coalition leadership competent at managing the collaboration?

COMMITMENT

Coalition progress requires a core group committed to stay with the effort until the goal is achieved. Since coalitions are by nature diverse, not all member organizations have the same incentives for participation. There are usually differences in the type, source, level and intensity of commitment brought to a collaboration by different members. Recognizing and addressing these differences can be vital for coalition development.

TYPE OF COMMITMENT:

Pragmatism/ Self-interest: quest for resources and power
- To obtain something for their organization or constituency
- To obtain something tangible for themselves as an individual
- To enhance agency or professional reputation or credibility
- To gain protection in a shared stance
- To obtain information or contacts

Ideology/ Altruism: value-based commitment to a cause or public interest
- To do innovative or creative work
- To promote a particular political or religious ideology
- To do good work to benefit others
- To further civic duty or pride

SOURCE OF COMMITMENT:

- Commitment to the cause/goal (collaboration is a means to an end)
- Commitment to the process of collaboration (collaboration is an end in itself)

LEVEL OF COMMITMENT:

- High / low
- Short term / long term
- Initiating / sustaining

INTENSITY OF COMMITMENT: (This can change over time) Participant views the collaboration as:

- a top priority
- one of many activities
- of limited interest
- useful only for appearances
- politically necessary, but uncomfortable

TO MAXIMIZE COMMITMENT TO THE COALITION:

- Structure opportunities for multiple levels of commitment.

- Clarify what kind and level of commitment is desirable and how it should be demonstrated.

- Encourage collaborators to articulate the basis and extent of their commitment.

- Provide a variety of incentives to sustain participation, addressing the actual motivation of the members.

- Plan for fluctuations in commitment over time.

- Address the need for protection of members.

CONTRIBUTIONS

What does the coalition need to succeed?   The joy of collaborating is that different parties bring different kinds of contributions to the joint effort.   Good planning will ensure that the collaboration contains a winning "mix" of contributions. Contributions may be categorized as *resources, ideology, or power.*

RESOURCES

- access to key individuals / social change target
- access to large constituency
- contacts with additional coalition members or allies
- legitimacy, reputation
- expertise in coalition work
- expertise on the issue
- financial support or fundraising capability
- managerial skills
- media contacts and expertise
- political influence with the social change target
- space, equipment
- competent staff, volunteers

IDEOLOGY

- a broad framework or vision for the collaboration
- a tone for the process of interaction and decision-making
- beliefs that fuel lasting commitment
- strong values
- credibility, moral suasion

POWER

- money
- large organization
- important constituency
- control of punishment, rewards, symbols, information
- authority
- influence

Over time, the need for different types and levels of contributions changes. Once incorporated, these new constellations may alter coalition structure and dynamics. **If contributions are insufficient, the coalition will have to:**

- compromise its position, settle for less, or limit or change its goal.

- rearrange, replace, or recruit membership and/or increase or recruit new contributions.

BALANCING DIFFERENTIAL CONTRIBUTIONS: It is unrealistic to assume that contributions will be made to the coalition without expectations about both the cost and rewards to the contributors.   Decisions about the distribution of pay-offs or rewards for coalition involvement must be made.

To avoid conflict over differential contributions and rewards from members:

- Assess the amount and kinds of contributions needed at each stage of development.

- Clarify expectations about minimum contributions and ratio of contributions to rewards.

- Find ways to make different types of contributions equivalent.

- Balance contributions with rewards so that participants can each feel appreciated and share ownership of the project.

COMPETENCE

Coalitions require different types of leaders and different kinds of leadership skills.   Leadership can be paid by the coalition,   donated by member organizations or provided by a sponsoring agency.   Leaders must approach collaborations in a nonhierarchical manner, and possess good "process" and strategic skills.

LEADERSHIP ROLES TO INCLUDE IN A COLLABORATION:

Facilitators/chairpersons - to guide meetings, clarify agendas, suggest approaches, coordinate the work to be done and keep the group moving

ahead. Often it is the chairperson who serves as main point of contact for the collaboration.

Communicators -- to maintain open, multidirectional lines of communication between the coalition itself, its members and their organizations, by calling, meeting, and sending written materials, or otherwise engaging in a communication exchange.

Process (feelings) watchers -- to pay attention to the emotional climate, to maintain equality of participation among members, and to suggest changes to keep the group functioning harmoniously.

Note Takers -- to record process and outcome of coalition deliberations. Since there are diverse interpretations of reality, and many parties to share in communications; this increases the importance of good minutes and records.

Representatives from each level of the collaboration -- to integrate the work being done at each level, and to represent the ideas and issues of each dimension to the others -- e.g. to represent committee work at the steering committee or Board level.

Spokesperson -- to deal with and present the coalition's position / image to the public, the social change target, the media and outside groups.

Visionary -- to inspire diverse groups to unite around a common issue.

Strategist -- to help establish goals, targets, tactics, drawing upon good political and negotiating skills.

EFFECTIVE COALITION LEADERS KNOW HOW TO:

- cultivate internal harmony among collaborators, as well as progress toward external goals.

- help diverse participants achieve consensus on goals, strategies, actions, and other coalition business.

- find ways to interest and sustain the participation of diverse collaboration partners.

- design effective strategies that allow differential participation among members.

- tactfully air and mediate conflicts.

- possess good negotiating skills.

- maintain and enforce a vision of the whole collaboration, while paying attention to each part

3. 100 organizations are linked by computer network to send alerts on new legislative developments.

   This is a _____.

4. Several organizations get a grant to provide services to youth. Each one serves a different population within an distinct area of the state. They operate independently, using subcontracts through a lead agency.

   This is a _____.

Draw your own collaboration here. Indicate who are the participants, who is in the middle, how the member organizations are linked. Show how it is formally organized, as well as how it actually works. (Use the designs on the side as you wish.)

Chapter 3: THE FOUR "C"S

CONDITIONS

What conditions today favor collaboration, and what conditions work against it?

COMMITMENT

1. What do you think sustains commitment in coalitions or collaborations?

2. What would decrease commitment in coalitions or collaborations?

CONTRIBUTIONS

1. Think of the goals and resources of a coalition/ collaboration that you know, preferably your own. Then think strategically about each member of this collaboration. What do you think their ideal contribution could be? How does this compare with what they actually put in? How can this collaboration encourage members to contribute their best?

MEMBER	ACTUAL CONTRIBUTION TO THE COLLABORATION	IDEAL CONTRIBUTION TO THE COLLABORATION

2. How might the collaboration balance contributions and "pay-off's"? What policy or practice could be established to address this issue?

3. If you are in a collaboration / coalition, please answer the following question: I / my agency will contribute _____ to the coalition, in exchange for which we expect to get _____. You can try to answer this question for other members as well.

COMPETENCE

Analyze the strengths of the core group in your collaboration. * What kinds of competence is there? What is needed in order to enhance your collaboration? Consider how you might acquire these skills or recruit other people who possess them.

* Note: if you are not in a coalition / collaboration, just select the skills that you think would be needed for an effective coalition effort.

SKILLS	WE HAVE THESE	WE NEED THESE
relating to and addressing the media		
advocacy and lobbying		
communication		
delegating responsibilities		
fundraising		
leading productive meetings		
management		
negotiation		
political and strategic acumen		
planning and forecasting		
public speaking		
research and needs assessment		
sense of timing and strategic ability		
writing		
balance different priorities		
elicit everybody's input and craft a common plan of action		
conflict management		
sensitivity to racial, ethnic, class and gender differences		
perseverance and patience		
strong interpersonal abilities		
vision and articulation of a larger whole in which each member has a part		
helping participants to contribute what they do or know best		

SECTION II: DEVELOPMENTAL PHASES

Section II covers the developmental stages and specific tasks and challenges at each stage, as well as guidelines and needed resources. It includes nine chapters.

Chapter 4. COLLABORATION DEVELOPMENT: PROCESS AND PRODUCT TASKS AND POSSIBLE OUTCOMES

This chapter describes the four phases of collaboration development: 1) Formation; 2) Implementation; 3) Maintenance; and 4) Termination/Transformation. Presented in chart form, it also includes an outline of major tasks and outcomes of each stage which can serve as a guide to identify and track developmental milestones.

PHASE I: FORMATION

Chapters 5, 6, 7 describe the major functions of the formation phase -- membership recruitment, selection of goals and strategies, and developing a structure. Chapter 8, which addresses staff issues, is also included here.

Chapter 5. MEMBERSHIP RECRUITMENT AND CULTIVATION

This chapter includes guidelines for selecting collaboration partners, in order to help practitioners to think strategically about membership recruitment and cultivation. It also includes a chart to help coalitions plan their approach to membership recruitment.

Chapter 6. PURPOSE, GOALS, STRATEGIES AND ACTIONS

Determining a coalition's purpose is an event that shapes its future course. Questions to help formulate a Statement of Purpose are presented here. Goal selection is another critical function. There is much variety in the duration, specificity, and types of goals for coalitions or collaborations, and many issues to consider in making this decision. Guidelines for selecting strategies and a list of possible activities are also included here.

Chapter 7. STRUCTURE AND PROCESS

Collaboration requires structures and processes for working together. This section describes 1) types of collaboration structures; 2) levels of structure; 3) the representation function; 4) operating procedures; 5) division of labor; 6) areas of decision-making; and 7) decision-making approaches.

Chapter 8. STAFF FUNCTIONS AND RESOURCES FOR EFFECTIVE COLLABORATIONS

During Phase I, coalitions/collaborations frequently begin to hire staff. This piece is intended to identify some of the tasks that need to be handled by staff, as well as some of the conflicts that can arise when a coalition employs its own staff. Sample job descriptions for typical collaboration staff positions are also included.

PHASES II and III: IMPLEMENTATION and MAINTENANCE

During these middle phases of coalition development, balancing stability and change become the central challenge. This requires attention to various tasks and resources needed to sustain the effort. These topics are covered in Chapters 9, 10, and 11.

Chapter 9: TASKS OF PHASE II AND PHASE III: COALITION & COLLABORATION IMPLEMENTATION & MAINTENANCE

The complexity of collaborations is well illustrated by this piece. It outlines the ways in which coalitions manage the goals, strategies, membership, administration, structure, leadership in

later phases of development. Each issue is explored with the three dimensions that need constant attention in collaborations: a) Internal Working Operations and Relationships; b) Coalition and its Membership; and c) External Goals.

Chapter 10: SUSTAINING THE EFFORT: FUNDRAISING FOR COALITIONS AND COLLABORATIONS

Although many collaborations exist without special funding, financial resources are a real need for many groups. This chapter explores some of the issues related to fundraising and funding of coalitions.

Chapter 11: COLLABORATION LEADERSHIP

Collaboration leadership positions, functions, qualities and skills are presented here, as are brief discussions on leadership development and collective leadership.

PHASE IV: TERMINATION OR TRANSFORMATION

Chapter 12 describes the warning signs for termination, helps to view termination as success as well as failure, and suggests some ways to end the collaboration gracefully.

COLLABORATION DEVELOPMENT

TWO DIMENSIONS OF DEVELOPMENT

Collaborations experience two kinds of development simultaneously -- PROCESS: the development of the working relationships and structure of the collaboration, and PRODUCT or TASK development, which includes setting goals and accomplishing tasks.

Collaborations are complex mechanisms, and without a positive history of past working relationships, new collaborations may take time to develop the trust necessary to agree on how to work together and what to do. The process is also affected by how many people need to come to consensus, and how adept the groups are at communicating and making decisions together. It will go faster if the collaboration undertakes a short-term project, like organizing a conference, and will take longer if the collaboration approaches more general goals, such as health promotion, which generate many possible strategies, activities and programs.

Organizing and structuring the collaboration is a perpetual process. Collaborations continue to do membership recruitment, leadership development, and organizational maintenance tasks throughout their existence.

DEVELOPMENTAL STEPS

It helps to look at collaborations at different stages or phases of development. During each phase, collaborations have distinct *process* activities, *task/product* activities, and *desirable outcomes*. Regardless of whether the collaboration is new or existing, their development displays a logical, although not linear, progression. The *process tasks* are "musts," regardless of the focus or membership of the collaboration. They are the key to building effective and stable working groups. *Product tasks* and outcomes vary according to the collaboration's issue, priorities and goals.

Certain **PRECONDITIONS** affect whether collaborations will form as well as how quickly or smoothly they develop. Ideally, conveners have credibility, legitimacy and good networks. They must be able to articulate an inclusionary, broad vision that can motivate a larger group, and suggest the tools and approaches to implement it. Also, larger macro economic and political forces, as well as local conditions and history may favor or inhibit collaboration. There need to be adequate resources for the collaboration process, which include space,

meeting expenses and volunteers or paid staff. Most important, the prospective members must agree to work together, departing from their autonomous way of doing things. As partners, they must agree to create and abide by a *common vision* of the collaboration and its goals, share power and credit for the accomplishments, and cultivate a sense of mutual accountability.

New collaborations go through a **FORMATION** phase. This phase should take from 3 - 6 months, depending upon timing, goal and resources. During the Formation phase, the primary tasks are to organize the collaboration, recruit members, establish a structure, identify goals and strategies, clarify working relationships and accountability mechanisms.

Next, collaborations enter the **IMPLEMENTATION** phase; which can take months to several years, depending on the goals. The primary tasks of this phase are to create and implement an action plan, to launch the project(s), to produce preliminary results (e.g. a preliminary needs assessment) and analyze progress to determine next steps. Parallel to these "product tasks," are "process tasks" such as establishing a committee structure, and cultivating resources and activities for the collaboration members. If there is funding, staff is recruited and hired at this point.

Once the systems and relationships have been established, and the work has begun, the collaboration enters the **MAINTENANCE** phase, which lasts the rest of the collaboration's lifetime. At this point, the collaboration needs to continue with its work, keep members involved and informed, re-approve or alter goals, activities and strategies according to how things have been going. Some collaborations may need to replace members, or recruit additional people in order to take on a new project, or represent a wider constituency. Others may change goals, or take on new projects. The primary task here is to maintain both the effort and the collaboration mechanism.

Finally, collaborations reach the phase of **TERMINATION OR TRANSFORMATION**. They may have accomplished their goals, completed their project, and decided to disband. Or their project may have been spun off and "institutionalized" independently or incorporated by another entity. Or the collaboration has decided to transform itself into a permanent organization.

PHASE	PROCESS TASKS	PRODUCT TASKS	POSSIBLE OUTCOMES
Phase I: **FORMATION**	Leadership core initiates the collaboration. Recruit membership, involving strategic stakeholders and others deemed essential to the collaboration's success. Identify common, complementary and competing goals Identify in-kind contributions and expertise of core and extended collaboration membership. Identify and meet with a diverse sample of coalition participants to discuss their perceptions, hopes and concerns about the collaboration, and solicit their advice about issues to be addressed and activities to be undertaken. Gather consensus on the mission of the Coalition and draft a Statement of Purpose, agreed upon by the membership. Create ground rules for collaboration functioning. (etiquette) (more on next page)	Identify all the agencies which provide services related to the target problem or target population, and develop a data base of these. Develop and implement outreach strategy. Develop purpose of collaboration and select goals. Determine specific objectives and activities and strategies that the collaboration will implement to meet its goals. Determine the external target (if any) of the collaboration's work. Assess what skills or resources will be needed to accomplish goals and use this to drive membership recruitment efforts. Begin to cultivate allies and supporters.	*PROCESS OUTCOMES* Ground Rules Membership List Membership agreements Collaborative Agreements Statement of Purpose/Mission Steering Committee Decision-making structure Management structure By-laws or Operating Procedures Established site Stationery (more on next page)

| PHASE	PROCESS TASKS	PRODUCT TASKS	POSSIBLE OUTCOMES
Phase I: FORMATION (continued)	Determine how competition or turf issues will be handled. Develop conflict resolution approaches. Develop criteria for public acknowledgment of all members in publicity or on stationery. Decide who will speak for the collaboration in public and what will be said to represent the whole group. Develop membership criteria, participation agreements and methods of amendment. Verify autonomy of representatives to make decisions or take action on behalf of their organization. Clarify accountability issues (e.g. what can be done in the name of the collaboration; what sorts of decisions require approval from everyone). Develop a communication and feedback mechanism with collaboration members and their organizational leaders (if different).		**PRODUCT OUTCOMES** *(Optional, depending upon the focus of the work).* Publicity material re: purpose and goals of the collaboration Service or resource directory Contact/alert sheets and systems to activate membership around tasks Information on targets and likely points of access. Mutually agreed upon strategies and activities

PHASE	PROCESS TASKS	PRODUCT TASKS	POSSIBLE OUTCOMES
Phase II: IMPLEMENTATION	Hire staff (if any) Develop working and supervision arrangements, structuring mutual accountability. Develop strong interagency communication and decision-making procedures Develop fiscal and program management structure, if funded. Develop collaboration leadership skills Conduct a publicity campaign about the collaboration. Develop standards of performance and achievement. What will success look like? Strengthen or alter committee structure to implement strategies	*Product tasks differ according to the type of collaboration. For purposes of clarification, they have been grouped here according to three common types of collaboration purposes: 1) advocacy, 2) service integration, and 3) planning.* Develop an action plan covering tasks, assignments and deadlines. Develop committees or other structure to implement strategies. Determine how work will progress and be evaluated. Identify additional resources to support the effort. (more on next page)	***PROCESS OUTCOMES*** Activity and research reports Increased number of people and organizations involved in the core and extended collaboration network Funding proposals are developed and sent. Evaluation measures and process are determined. Application for tax exempt status, if relevant. ***PRODUCT OUTCOMES*** Working groups and committees issue activity and research reports Action Plan is completed. Needs assessment and analysis is conducted, updated, and disseminated for comments. (more on next page)

PHASE	PROCESS TASKS	PRODUCT TASKS	POSSIBLE OUTCOMES
Phase II: **IMPLEMENTATION** **(Continued)**	Develop membership skills and knowledge to enable them to implement their work and perform as part of a team. Develop standards of performance and achievement. Refine membership regulations and operating procedures to avoid or address internal problems. Continue the outreach effort.	**Planning collaborations** Conduct needs assessment, using interviews, surveys, focus groups, and statistical research Involve community residents and consumers of service in planning forums. Circulate a draft of the Needs Assessment for comments. Identify strategies for addressing needs. **Service Integration** Devise ways of working together within existing services to meet service gaps and better utilize local resources. (more on next page)	Committee work makes steady progress toward meeting goals and implementing strategies. **Planning** The community is involved in identifying service needs and evaluating service operations. A mechanism is developed, to systematically involve consumers/clients in planning and implementing services **Service Integration** New service systems are developed to make services more sensitive, comprehensive or targeted. (more on next page)

PHASE	PROCESS TASKS	PRODUCT TASKS	POSSIBLE OUTCOMES
Phase II: **IMPLEMENTATION** **(Continued)**		Convene meetings of participating organizations to discuss referrals and collaboration mechanisms. Develop a joint case management process for clients in common. Develop a method of tracking clients' progress through different agencies for services. Standardize data collection, intake and evaluation procedures.	Increased services, as measured by either units of service or numbers of clients served, or additional dollars for service delivery. Procedures for consumer monitoring of joint services are developed.
		Advocacy / Social Change	**Advocacy / Social Change**
	Involve client and constituent groups in the coalition's work. Assess opposition and obstacles.	Educate members regarding the issue: provide information, campaign to build community awareness. Contact targets of collaboration. Engage in outreach and advocacy to address identified needs. Meet with private and public funders to increase resources for the community or issue. Engage in advocacy strategies to publicize local needs and increase local resources.	Launching of a new advocacy campaign Increased resources for community needs. Resource development strategies and plans are pursued.
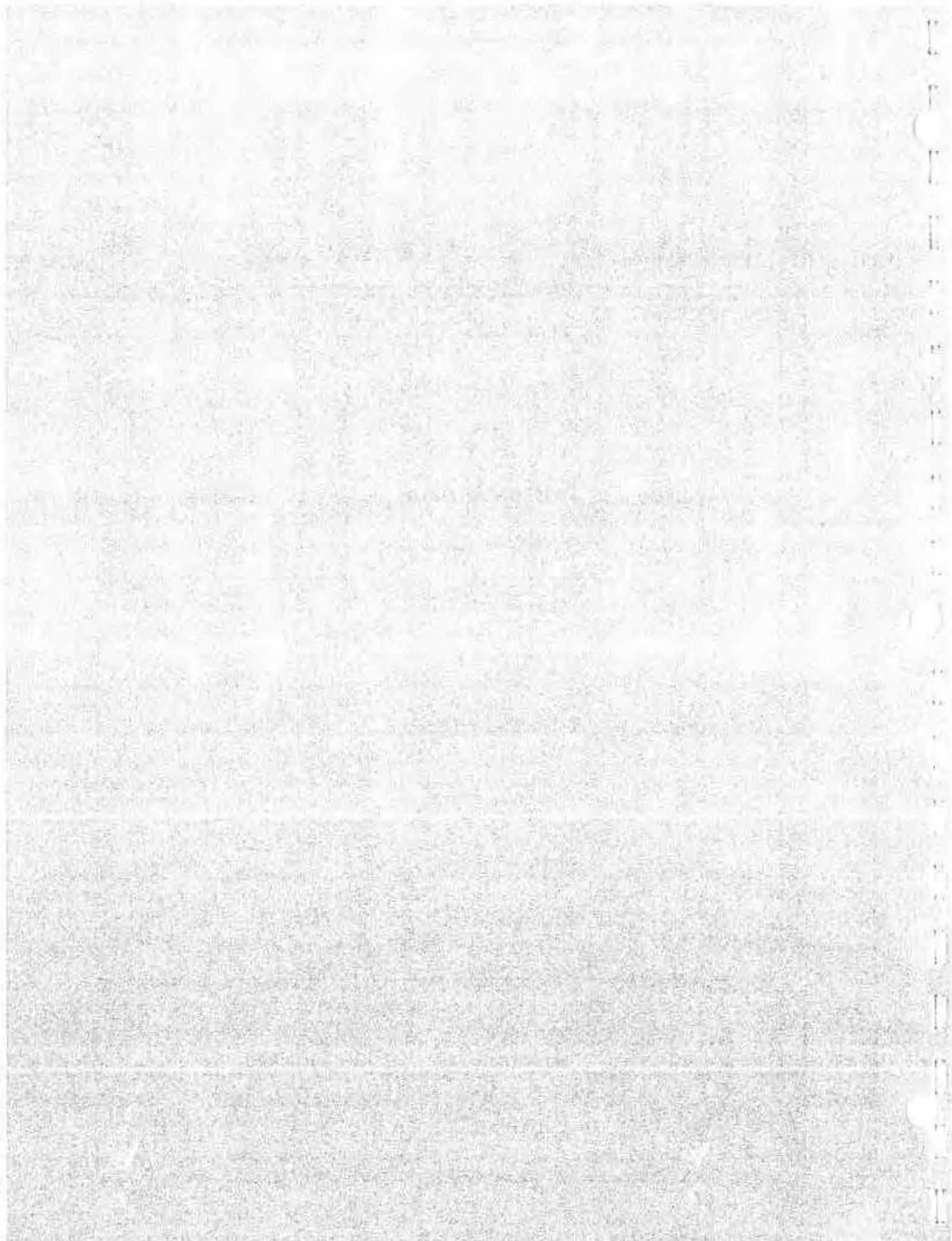
MEMBERSHIP RECRUITMENT AND CULTIVATION

The first thing that most collaborations do is to select members. Sometimes they begin by assembling a small core group to handle initial planning and outreach; sometimes the initiating group is intentionally inclusive and wide-ranging. It is essential to approach membership selection as a strategic process. In the **Formation** phase, membership recruitment needs to bring in those organizations or individuals who possess the resources and skills that the coalition needs. Attention is paid to what the coalition needs, as well as what incentives will encourage people to join and participate. In later phases of development, the issue becomes retaining, cultivating and replenishing membership. (Please refer to Section II for more details.) The following questions are posed in order to assist collaboration leaders in making careful choices about their partners.

A. SELECTING COLLABORATION PARTNERS

What combination of resources, power and ideology are needed for collaboration success?

What sectors (e.g. business, health care, etc.) / types of organizations and issue-interests should be included?

What types of organizations should be excluded, if any, and why?

What level of leadership should be sent to represent each member organization in the collaboration?

What kind of contributions and commitment will be expected of members/member organizations?

What are the bottom line issues that participants must agree upon?

How diverse should the collaboration be? Should members be accepted if their beliefs or activities are incompatible with the collaboration's mission?

B. WHAT DO YOU NEED TO KNOW ABOUT A PROSPECTIVE COLLABORATION PARTNER?

Working with different people or organizations will be easier if you get to know something about them, first. The more you learn, the more you can know what to expect and plan for, and the easier collaborating will be. Several factors could affect your working relationship.

1. LEADERSHIP

- Who is formally in charge?
- Who can actually make decisions for the organization?
- What kind of approval is required for the organization to join or participate in a coalition?
- How does the organization involve its clients/constituency?
- Are staff or constituents in leadership roles with input or decision-making power?

2. STRUCTURE

- How does the organization make decisions?
- By what process and timetable are decisions made?
- How does the organization communicate with its members/clients/constituency?
- How can the organization and the coalition best communicate? e.g. written materials, faxes, computer/modem, direct personal contact

3. STYLE

- How formal is the organization's style and manner?
- What are the organization's beliefs, values, priorities?
- What is the organization's attitude toward and experience with collaboration?
- Is the collaboration compatible with the organization's mission and purpose?

4. NEEDS AND EXPECTATIONS

- What can the organization bring to a collaboration?
- What outcomes does the organization expect to obtain from the collaboration?
- How long is the organization willing to work on the coalition/collaboration?
- What assumptions related to the process and outcome of collaborating does the organization bring to the effort?
- What might be a sore point, area of vulnerability, or tension in working together and how can this be addressed?

5. CONTRIBUTIONS

Which attributes does the collaboration need from its member organizations in order to enhance it?

- Color, culture, class or ethnic group
- Credibility
- Shared ideology
- History of effectiveness
- Compatible organizational structures and styles
- People who have worked effectively with each other

What kinds of resources will be required for effective collaboration functioning? Identifying these needs will assist the collaboration in being more strategic about membership recruitment.

- Access to external allies
- Access to media
- Access to relevant constituencies
- Connection to the social change target
- Equipment
- Expertise and skills
- Money
- People
- Power
- Power
- Space
- Time

Finding the right balance of membership unity and diversity is a challenge. The dynamics of difference require careful management, but represent the essence of effective collaboration. For further reference, see *Chapter 3: Some Essential Components of Coalition Development: The Four "C's,"* which provides details regarding the contributions, commitment, and competence collaborations may seek from their membership. Also see *Chapter 13: Managing Dynamic Tensions"* which outlines the many forms in which differences between members manifest, and suggests ways to manage these tensions.

C. RECRUITMENT STRATEGY AND PROCEDURES

The initiating organizations should discuss who to target for membership recruitment, taking all of the above steps into account. Some groups find it useful to develop criteria for membership, or develop different tiers of membership, each with distinct benefits and responsibilities. *(For more detail, see Chapter 7: Structure and Process.)*

It is essential to consider: 1. What the organization can bring to the collaboration; 2. What would appeal to them about participating in the collaboration, and 3. What might be a problem for them, for other members, or the collaboration if they join? *Use the Recruitment Strategy Chart - see exercises below - to answer these questions.*

If too many problems or conflicts would be entailed in some group's participation, consider other ways to involve them without extending full membership benefits; if their participation as members is essential, it will be worth addressing the problems directly.

Prospective collaboration partners need to know:

- the basic vision and goals of the collaboration
- the resources which are or will be available and how they will be allocated
- their expected role and responsibilities
- the established ground rules and operating procedures / by-laws of the collaboration (if any)

A membership package could be developed that contains these materials in writing; verbal presentations from membership recruiters can reinforce the points. *See below: Membership Agreements, and also see sample agreement in the Appendix.*

MEMBERSHIP AGREEMENTS

A written agreement for each member organization allows them to make an informed decision about their commitment, and provide an understanding of "coalition etiquette." It also tries to prevent misunderstandings and conflicts between the coalition and its member organizations.

Prospective members should help develop (and those joining later, review) the coalition's statement of purpose and by-laws /operating procedures. If certain items will cause them difficulty, these should be discussed with the full group and amended, if necessary. Alternatively, some ground rules may be essential to preserve, in which case the coalition can: (1) create waivers, methods of dissension or non-participation for members; or (2) determine that organizations unable to abide by the ground rules cannot join or maintain their membership. What is essential is that the evolving collaboration mechanism attempt to be responsive to participants without violating its basic philosophy..

Ideally, membership agreements for a coalition would provide clarity about expectations and commitments for the collaboration as a whole and for its members.

FOR THE COALITION / COLLABORATION:

- criteria for attendance, representation, liaison to member organizations
- whether each party is considered a voting or non-voting member
- responsibilities, expected commitment and contributions
- the amount and timing of dues or other financial contribution, if applicable
- process to ensure that members are accountable to the coalition
- how to change the membership agreement
- consequences, if any, of violating the agreement
- mechanisms for grievance/ conflict resolution

FOR THE INDIVIDUAL OR ORGANIZATIONAL MEMBER:

- agreement to support the purpose of the collaboration
- agreement to abide by the ground rules of the coalition

- organizational endorsement of its representative and alternate; commitment to allow them to make decisions for their organization

- structure for representative to be accountable to their own organization

- agreement to use (or delete) organization name on stationery, position papers, proposals, or other coalition materials

- agreement to abide by "coalition etiquette" e.g. mutual respect, shared decision-making and control

(See sample Membership Agreement in the Appendix.)

PURPOSE, GOALS, STRATEGIES AND ACTIONS

Ideally, many or all of the collaboration's initial members will collectively make decisions on its mission and purpose. Clarity about the collaboration's purpose will help to determine the specific strategies and activities that the group pursues, choosing those that will meet its overall goals, and eliminating those which do not. As the collaboration evolves, and new members join or external circumstances change, it may want to revisit the goals, strategies and activities. Although the mission usually remains a constant, nothing in a collaboration is set in stone -- flexibility and some change help the collaboration to adapt to new conditions without abandoning its purpose.

A. THE PURPOSE

In developing the purpose of your coalition or collaboration, consider the following questions:

What is the overall goal?

What are the geographic boundaries of the project?

Who is needed to influence the target in order to accomplish your goal? (Is this realistic?)

How long will the project or effort take?

How does the purpose relate to the groups or individuals who are being recruited to join the coalition?

What strategies and actions will be used to achieve the goal? For example:
- developing one or more projects
- creating new policies or legislation
- advocating in the media
- conducting public education campaigns
- integrating services or sharing resources
- creating a permanent, funded organization

What will success look like? How will the collaboration know when it has accomplished its purpose?

B. STATEMENT OF PURPOSE

Many collaborations write a Statement of Purpose. This articulates the group's mutual agreement about the purpose and desired outcomes of the collaboration. It can be a simple concept paper, or a more formal document that becomes adopted or publicized by the collaboration. A statement of purpose might address:

- mission
- goals
- objectives
- strategies, activities

- geographical target area
- target population
- outcomes
- time-table

The ideas contained in the Statement of Purpose should be developed by consensus, and accepted by the initial coalition members.

C. GOALS

1. Time and Specificity

Depending on its purpose, a coalition or collaboration could establish both **long term** and **short term** goals. These goals may be **specific** or **general**.

Some people view coalitions as vehicles for organizing -- temporary means to achieve a social change goal. They view coalitions as transient mechanisms to be utilized as needed by representatives of more permanent groups. Duration is not a factor of coalition success: the alliance is brief and the purpose limited. Goals tend to be short-term and specific.

Other people implicitly view coalitions or collaborations as entities with the goal of working toward permanence. They view the coalition as an interorganizational model and as such, frequently pursue more general goals, and are willing to work on long-term goals that may take several years to achieve. Sometimes collaborations pursuing long-term goals are transformed into organizations with a life of their own. These long-term efforts usually pursue interim goals in order to obtain some success along the way.

It is important to understand these time and specificity variables to clarify what members are committing to by joining the coalition effort, as well as what is realistic to expect in terms of progress. Here are some examples of coalitions

and collaborations which are formed to accomplish goals that are either short term or long term, and general or specific:

Short term/Specific Goal (e.g. organizing a demonstration or conference)

This type of coalition/collaboration generally forms around some identifiable emergency or crisis situation which demand immediate action. The target of the social change is evident. There is usually an externally imposed deadline, and the outcome -- win or lose -- is obvious; therefore, effectiveness can be measured. After the goal is achieved, the coalition is expected to terminate. Short-term coalitions are usually expected to last about one year.

Long term/Specific Goal (e.g. passing new legislation, running an ongoing service program)

This type of coalition/collaboration usually exists under two conditions: by design or default. In the first instance, it is anticipated that the desired outcome will take longer than one year to achieve; in the second instance, the time needed to achieve the goal is underestimated. Therefore what began as short-term becomes, de facto, long-term. Its goal can be proactive as well as reactive. Sometimes funded collaborations may embrace these long-term, specific goals, with each member fulfilling a different part of the work.

Long Term/General Goal (e.g. neighborhood improvement)

The goal of this type of coalition/collaboration encompasses a broad spectrum of related concerns. There is no clearly identifiable target or deadline. Often, the amorphous nature of the general goal entails an extended time commitment for its articulation and development. When longevity is planned, internal organization-building is frequently one of its goals. Ideally, this type of coalition is designed to endure as an interorganizational model with clearly established patterns for ongoing cooperation. In fact, it may move on after or while addressing its goal, to take on a life of its own, as a federation or a new organization.

Short Term/General Goal (e.g. response to a racist incident)

This type of coalition often begins out of a general concern for a problem which may not be receiving enough attention. It usually forms when groups are already working together well on other issues, and/or have the luxury of resources and energy to broaden their focus. There is a sense that something

must be done, some response must be made. There is also no clearly identifiable target or deadline except that imposed by the forming groups. Initially they are committed to working on the goal for a limited amount of time. Frequently however, this model is the result of poor planning, in that the groups underestimate the time necessary to move from a general goal to a specific action. Consequently, this type of coalition rarely lasts in this form: either it moves to one that is specific goal/short term or long-term/general goal.

2. Types Of Goals

Goals may be *proactive* or *defensive*.

Defensive Goals are those in which groups are organized to fight against something or someone that is a threat to them. Coalitions with defensive goals may be mobilizing against a toxic waste dump, or protecting farm land from development, or fighting funding cuts. The key dynamic is that they are opposed to something; fighting a common enemy often makes it easier to coalesce with diverse groups.

Proactive Goals are those which attempt to make something new happen. These could be found in coalitions or collaborations that engage in comprehensive community-wide planning and visioning, and then organize work groups in order to make that vision a reality. They might also be found in groups which want to create jobs, housing, or new programs. Sometimes groups which have successfully fought against a threat (had a defensive goal) win, and then are faced with the task of creating something new, instead. Groups with proactive goals need to consider not just what they *don't* want, but what they *do* want to do, but how it will be done, and who will be involved.

Collaboration goals may promote **Social Change / Political Action**, or meet needs of members for **Organizational Development, Resource Enhancement, or Recognition**, or may improve **Service Coordination**. Collaborations may also form to **Resolve Conflicts**, or engage in broad scale **Planning**. *(see Chapter 1: Advantages of Building Collaborations, and Chapter 14: Collaboration Success.)* Each of these purposes may involve short or long-term commitments, or either proactive or defensive stances.

Social Change Goals attempt to influence an external target in order to accomplish some sort of social change. Examples include:

- Creating or opposing policies

- Electing a candidate
- Gaining funding or opposing funding cuts
- Influencing public opinion
- Passing or defeating legislation

Social Change Targets are decision-makers and those who can influence key decisions. Examples of targets include:

- Courts/Judiciary
- Elected (executive) leaders
- General Public
- Legislative bodies
- Private/Corporate
- Public/Administrative Agencies/ Bureaucrats
- Specific Communities/Constituency

Organizational Development, Resource Enhancement, or Recognition, goals can increase resources for collaboration/coalition members to meet needs, solve problems, or develop new projects. They might help organizational members to gain new skills in order to expand and evolve. Or they might increase the membership's visibility and credibility, exposing them to new ideas and contacts. Examples of these membership-oriented goals include:

- Combining agency expertise to expand approach and product
- Maximizing resources by sharing staff, space or other in-kind resources
- Increasing skills through mentoring and shadowing programs
- Producing joint training efforts to enhance capacity of members
- Promoting the visibility of member organizations, their leaders, issues and accomplishments

Service Coordination goals help groups to maximize the impact of their own programs by integrating the work of diverse participants. Examples include:

- Crisis intervention / case management efforts involving interdisciplinary and interagency teams with different areas of expertise.

- Developing one-stop "shopping" centers, where clients with various needs can receive comprehensive services

- Fighting racism by forging a multicultural approach to community service delivery

- Increasing access to service, recreation and education programs by utilizing school space for community

- Reducing economic uncertainty by developing joint survival strategies

Goals for some collaborations may be to **Resolve Conflicts**, in order to achieve agreements surrounding shared turf or resources, and to find a way for people with an ongoing relationship to work/live together harmoniously. Examples include:

- Developing consensus on new policies, incorporating diverse stakeholder positions

- Developing legislation about land use or environmental issues

- Overcoming impasse to community development or social change

- Reducing competition and increasing mutual benefit

- Violence prevention or reduction

Planning goals should incorporate the concerns of a broad spectrum of participants, and ensure that all stakeholders are involved in the process. Examples include:

- Community assessment and planning to identify needs & assets

- Creating a community planning board and inclusionary process

- Increasing local economic or housing development

- Increasing the control of local residents and businesses for development plans that will affect them

3. Considerations In Goal Selection

In selecting a goal, coalitions should consider the following suggestions:

- Select a goal that is central to everyone's interests and is seen as something that can benefit both the diverse groups and the coalition as a whole.

- Define a goal relevant to the members' interest, but broader than any one group could address alone.

- Identify linkages between the issues.

- Create a superordinate goal that transcends differences among potential coalition members, and clarify how the participants' differences support the whole.

- Compromise on goals: Create goals where all participants can get a portion of what they really want, enough to sustain their involvement.

- Expect to change goals over time.

- Show how short term goals relate to the long term, bigger picture.

D. COALITION / COLLABORATION STRATEGIES

1. Types of Strategies

Collaboration strategies may be viewed on a continuum from consensus (where achieving the goal entails agreement and common purpose) to conflict (where achieving the goal entails antagonism and opposition). Strategy is the general framework for achieving goals. The specific activities that will be used will fit into the overall strategy.

Consensus Strategies:
- Planning
- Research
- Information and Education
- Persuasion
- Exchange
- Pilot projects

Conflict Strategies:
- Negotiation
- Bargaining
- Lobbying
- Demonstrations & Marches
- Public Accountability Confrontations
- Civil Disobedience

2. Selecting Coalition/ Collaboration Strategies

Different strategies will attract and engage different participants, require different sorts of resources and commitments, as well as achieve different goals. Decisions around strategy should be made with awareness about the consequences of these choices. Participants in decisions about strategy will be more likely to implement these decisions than will those who are left out of the process. Factions of members who embrace divergent visions for the coalition's work can be divisive; these differences need to be resolved. Some collaborations consult with funders or social change targets before selecting a strategy, in order to maximize impact and ensure ongoing support. In selecting strategies, coalitions need to consider the following issues:

- Which level of coalition members participate in decisions on strategy? e.g. leadership, membership, constituencies

- How much agreement among members is required before the coalition can take action?

- How will dissension be handled?

- Who speaks for the coalition? Who represents the coalition?

- How does the coalition represent its members? Does it identify members by name?

- Is the strategy practical or feasible, given coalition resources and level of commitment?

- Is the strategy consistent with the philosophy and values of the coalition?

- Will the strategy invoke conflicts of interest or compromise the positions of coalition members?

E. TARGET AREA and TARGET POPULATION

In determining goals and strategies, it is important to identify the scope of work to be undertaken. Collaborations should clarify:

- the geographic target area *(e.g. certain blocks, neighborhoods, districts)* that will be covered

- the issue area/s *(e.g. health, education, housing)* that will be addressed
- the target population/s *(e.g. single parents, people over age 65, People With AIDS, etc.)* who will be affected by the work of the collaboration.

Selecting these three parameters will help the collaboration to be more precise about goals, objectives, strategies and actions, eliminating approaches that do not reflect these decisions. Collaborations may also keep these decisions in mind when recruiting new members and supporters, in order to ensure that they pursue appropriate candidates.

F. POSSIBLE OUTCOMES

Identifying possible outcomes and measurements of success will also be critical in focusing the collaboration's work and unifying the membership. Goals should be linked to specific, measurable objectives (e.g. *GOAL: neighborhood improvement; OBJECTIVE: increase by __x% the number of new housing units that are allocated for local residents)*.   Short and longer term accomplishments or milestones may be developed and used as an ongoing yardstick by which to measure the collaboration's progress.

The leadership of the collaboration needs to give careful consideration to the question of outcomes, identifying win-win situations whenever possible. Successful outcomes address the identified goals, as well as satisfy the individual collaboration member organizations and their constituencies. *(For more information on outcomes, see Chapter 14: Collaboration Success, and Chapter 16: Collaboration Assessment.)*

G. POSSIBLE COLLABORATION ACTIVITIES

Different activities help the collaboration or coalition to achieve different purposes. While the following activities are grouped by type of goal, many could in fact be applied to several different types of goals.

Social Change/Political Action activities entail community or constituency organizing, involving many people in the process of promoting an issue or cause. Specific activities might include:
- Advocacy for common concerns / issues

- Boycotts
- Collective mass organizing
- Demonstrations, marches, sit-ins, vigils
- Guerilla or street theater
- Interagency/inter-sector task forces or work groups on specific issues
- Letterwriting campaign
- Lobbying
- Outreach and mobilization
- Position papers / public testimony
- Public information and education
- Public meetings, community-wide forums
- Publishing newsletters or studies
- Running or supporting candidates for public office
- Study groups; invited speakers

Service Integration or Coordination activities link the work of different disciplines, departments, and/or agencies in order to produce more comprehensive or cost effective services. Examples include:

- An umbrella for different activities and approaches occurring at multiple sites
- Case coordination/management
- Co-location of services
- Common data base for shared clients
- Common service / program implemented in different sites
- Information referral and follow-up assistance
- Joint sponsorship of special events - e.g. service fairs, conferences
- Program coordination
- Service providers' networks/ coordinating councils
- Shared resources - e.g. program or administrative staff, computer, consultants, space
- Shared/pooled mailing lists and other data

Organizational Development, Resource Enhancement, or Recognition for Collaboration Members

- Collective buying and cost containment
- Exchange of in-kind resources, e.g. staff, space
- Group benefits - e.g. insurance, loans
- Joint training workshops and technical assistance
- Joint fundraising and program development
- Joint publicity and outreach
- Leadership and Skills Development
- Provision of information and contacts to collaboration participants
- Provision of letters of support for individual projects
- Public information on collaboration projects and members
- Shared research data / library

Conflict Resolution / Problem-Solving activities are approaches to airing differences and having the participants arrive at a solution, agreement or consensus. Examples include:

- Conflict resolution sessions

- Consensus problem-solving processes

- "Futures Searches" and other "visioning" processes that involve many participants

- Mediation (use of a third party)

- Negotiation through caucuses which represent specific issues or constituencies

- Presentation of different positions at public forums

- Town hall - type meetings

Planning activities involve a variety of approaches to participatory planning. These include:

- Comprehensive planning processes involving many participants at different levels
- Focus groups and forums

- Interviews
- Needs and Assets Assessments to identify unmet needs, gaps, duplication
- Participant observation
- Public information and planning events
- Research through surveys, questionnaires
- Statistical research / data analysis

STRUCTURE AND PROCESS

OVERVIEW

There are a variety of structures and operating procedures for effective collaboration. This section will describe: A) types of collaboration structures; B) levels of structure; C) the representation function; D) operating procedures; E) division of labor; F) decision-making **areas**;   G) decision-making approaches.

Regardless of the specific form that the collective effort assumes, all collaborations require certain common processes:

- ground rules for operation and cultivation of collaboration norms
- clear lines of communication to all levels of the collaboration
- clarification of issues of organizational representation and accountability
- flexibility in participation and leadership
- a central coordinating body which is responsive to the whole group
- a shared decision-making structure and process

Many collaborations begin by establishing a formal structure. This may be premature. All that is needed to start with is an agreement about operating procedures. Activities may be coordinated through a volunteer steering committee, rather than holding formal elections for officers or appointing board members right away. Collaborations can suffocate from too many rules, regulations, and by-laws-- they need to establish "just enough" structure to take independent action and be accountable to their member organizations.

A. TYPES OF COLLABORATION STRUCTURES

Collaborations and coalitions can operate through a variety of structures. Here are some of the examples of structures in current use:

1. Steering Committee/ Issue Committees/ Centralized Staff

This model provides a way to organize large collaborations which coordinate their work on a range of diverse issues -- for example, a neighborhood-wide planning and advocacy network with committees on housing, economic development, education, health, etc. Another use of this model would be the single issue collaboration that is working in various locations or venues - for example the public health initiative that is operating through schools, community organizations, parent groups, government, etc. Representatives of

each issue or sector can work separately, with representatives at the Steering Committee level who integrate the work overall.

Committees/task groups: Many members representing distinct interests who are concerned about a problem, or who are working on a specific task can be organized into committees or task groups.

Committees are ongoing vehicles through which participants agree on procedures, identify issues, gather information, generate options and develop recommendations/reaches agreements.

Task groups may be self-selected or appointed by committees to gather information on specific issues, implement specific tasks, identify related concerns, develop alternative strategies to solve a problem or achieve a goal.   Individuals can join task groups and contribute expertise and experience without having to invest time to participate in the larger program. Task groups report their results to the committee.

Steering committee: establishes direction, reviews collaborative efforts, mediates jurisdictional disputes, reviews and amends structure and process with input from the general membership.

2. Lead Agency / Subcontractors And Coalition Member Organizations

This is one model commonly seen in funded collaborations. There may be a grant through a lead agency for the collaboration, or a grant split into separate subcontracts, each of which is held by a different organization and accountable to the lead agency.   Other members of the collaboration who are not subcontractors may also be involved in the work and the structure.

3. One Agency Subcontracts with Another

Similar to Model # 2 above, this entails linkage of organizations through subcontract or payment for specific services or goods.

- one agency purchases the services of another - pays for use of staff or facilities
- one agency gets a grant and pays another agency to handle administration, fiscal or program responsibilities
- lead agency gets grant and other agencies contribute in-kind, obtaining non-financial benefits
- one agency serves as a funding conduit for another (or others, if multi-agency collaboration)

4. Equal Exchange / Reciprocal Relationships

This model operates with in-kind exchanges, and involves no superstructure. It could entail:

- equal partners, with representatives of each agency meeting together to plan and monitor joint work.

- several agencies exchanging personnel, knowledge, technology, resources or clientele

- several agencies creating and co-sponsoring a joint program that operates on an independent basis. Loaned or funded staff paid by separate agencies work on the common project and are accountable to the collaboration.   Once funded this becomes an autonomous collaboration structure - possibly involving centralized staff or leadership.

5. Board, Staff, And Committees/ Task Forces

Some collaborations / coalitions are organized as not-for-profit corporations. By law, these tax-exempt collaborations/coalitions must have a Board of Directors to assume legal responsibility for the group.   Therefore, this collaboration structure resembles a typical hierarchical organization, with the Board on top, setting policy and directing the staff; the staff working with the task forces. The broader membership, including Board members, may also be involved in task forces or committees which operate with staff assistance and implement projects agreed upon at the Board level.   There may be some coordination among the task forces/committees, although at least on paper, the board takes on most of the oversight functions.

6. Supervising Agency and Affiliate(s)

This structure entails a relationship between a provider and recipient(s) of a specific service, and usually entails a contractual agreement.   The collaborating "team" would consist of the provider and the recipients, or for example, a supervisor from one agency who works with program staff from others. This type of collaboration may function without any group meetings, usually when dialogue is one-to-one, between the supervising agency and each of the others.   An example of this sort of collaboration might be an affiliation agreement whereby a private training hospital which supervises and trains interns and residents at public hospitals.

7. Model Program and Replication Sites

The model agency forms a team with one or more sites where a certain program is to be replicated. The collaboration would involve site visits, participant observation, supervision and consultation as needed. The replication site could use forms and procedures developed by the model, or create an adaptation. No joint decisions are needed - just an agreement to share the model.

8. Host + Service Provider

This structure entails one program or service provided by one organization, located at multiple sites hosted by other organizations. Agreements on use of space, schedule, liability, client confidentiality, and credit for achievements would be needed. Examples of this model include community schools, where school buildings are utilized after school hours to provide space for community programs. The school is the host, and the community groups operating their are

9. Two Or More Organizations Co-Locating Services In One Site

To reach new populations, or save money on program site costs, organizations find it useful to co-locate their services, sharing a site. This goes beyond a real estate agreement, and ideally entails some degree of service integration. An example of this type of collaboration might be a senior center which provides satellite space for legal services or mental health outpatient services serving seniors. Whether using a new or an existing site, collaboration member organizations would need to agree upon space allocation, administration, responsibility or payment for common goods (e.g. equipment) or resources (e.g. volunteers). They may want to develop or adapt joint intake and follow-up procedures for shared clients.

10. Negotiating Teams

Collaborations used to resolve conflicts may not resemble one united entity; rather the different positions or sides may be linked to each other through their representatives or negotiators. This collaboration structure consists of several "teams" organized by interest group. Each team decides on its goals and interests and functions as a unit to carry out the work that it is committed to. There is no central committee, but staff function as intermediaries or mediators between the teams. Smaller working groups may be used to explore an issue in depth, develop and refine options and iron out differences within the

negotiating teams. Periodic sessions are held where team representatives can present their position and negotiate with each other.

11. Community-wide, Citywide or Statewide Leadership / Local Affiliates / Regional Planning Groups / Staff Organizers

This model is effective for organizing collaborations across large geographical areas. A centralized staff or volunteers, accountable to the leadership, coordinate activities and communication between participants at each level. Ideas can be launched at any point, and then communicated to the others. For example, planning issues could be presented and circulated for comment. Once the focus for planning is approved by all levels, then each level would be responsible for convening people to implement it. Regional or local planning groups would examine the questions and arrive at answers. This input would be consolidated at the broadest level for that coalition/collaboration, incorporating the planning decisions made at each subordinate level. The final plan could be sent out to all members, or presented at a general meeting for approval.

12. Funding or Regulatory Agency Determines Structure

The Funding or Regulatory Agency might structure the relationship between agencies by, for example, assigning one agency to provide training to others, and the recipients of that training to deliver services. Or a department in charge of licensing may require agencies holding licenses to take certification training from a particular provider. Or a government funder may have a technical assistance team to provide training to its grantee organizations which are providing direct services.

13 . Agencies Collaborate To Maximize or Expand Resources

In this structure, resources are leveraged to achieve something greater for all the participants. Unlike a reciprocal exchange, (model # 4 above) which generally does not entail a cash involvement, this type of collaboration may involve finances as well as a collaborative in-kind effort.

- several agencies contribute funding or in-kind contributions to attract or leverage something bigger, - e.g. federal revenue-sharing, or United Way matching funds.

- several agencies purchase services or resources collectively, at lower individual cost - e.g. office supplies, personnel benefits, food or fuel - this usually requires one contact or delivery point.

- several agencies develop a new program and obtain funding as consortium with each agency operating independently, responsible for different tasks and accountable to the whole group involved.

B. ELEMENTS / LEVELS OF COLLABORATION STRUCTURE

Collaborations can expand to include a large number of people, as long as there are different levels within the structure for everyone to take part in the process.   Collaborations may involve a number of different participants, including: 1) member organizations, 2) work groups or committees, 3) a steering committee or executive committee, and 4) staff. Each level is distinct in terms of its participants, forms of involvement, and functions.[1]

Member Organizations: Because collaborations are usually organizations of organizations, the membership is generally identified as entire organizations, which participate through one or more representatives. The role of member organizations in collaborations varies and ranges from little to great involvement. They may:

- receive information/mail from the collaboration
- occasionally attend collaboration events or activities
- attend general meetings
- provide volunteer and other in-kind contributions (resources)
- have voting privileges in the collaboration, by virtue of their participation
- send one representative to one committee
- send several representatives to several committees
- do some of the actual work of the collaboration, either as volunteers or through funded subcontracts
- participate in the leadership and decision-making body of the collaboration

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[1] Later in this chapter, under *Item E*, specific collaboration tasks are outlined. Some tasks correspond to a specific level of participation; others may be fulfilled by collaboration members at any level.

Committees or Work Groups are generally how collaborations can involve many different people from different organizations and sectors in their work. Committees may be:

- functional - e.g. membership, fundraising, publicity

- issue-oriented - e.g. housing, economic development, drug prevention

- program-related -- e.g. needs assessment, case management, contract compliance

- representative of specific geographic areas -- developing projects to meet local needs

- representatives of different sectors or interest groups- e.g. government, residents, schools, non-profit service providers, etc. -- to organize those constituencies and bring their issues and resources to the collaborative effort

A **Steering Committee / Governance Group** or some other leadership body coordinates the work of all committees and members, supervises and directs the volunteer or paid staff, and makes policy decisions for the collaboration. They may also be involved in contract monitoring and compliance if the collaboration gets funding. Membership in the Steering Committee should include *representatives from each component* of the collaboration - whether a committee, geographic unit, sector or constituency, plus *officers* of the collaboration (if any), and a mix of people with the right skills and constituencies to guide the collaboration's work. If the coalition/collaboration is small and there are no committees, the steering committee should include representatives from each of the member agencies. If the collaboration is a funded project, it could include representatives from each of the subcontractor agencies. Some mandated collaborations specify the constituencies/sectors which are required to be represented in the leadership body.

Staff positions may be *funded* by grants to the collaboration or to a lead agency for this collaboration. They may be hired by any or all of the funded subcontractors, but they are accountable to the entire group involved in this grant. They also may be *donated* by member organizations of the collaboration. Their work is usually to assist the leadership to manage collaboration working process and achievement of external goals. Much of their time may be concentrated in:

- office work such as getting out mailings, updating membership lists and forms

- organizing: membership recruitment, developing committees, getting things done

- research and planning -- doing the legwork as directed by committees and leadership

- follow-up: correspondence, scheduling meetings, monitoring commitments of targets and members

C. THE REPRESENTATION FUNCTION

One of the most distinctive structural elements of collaborations and coalitions is the fact that each participant usually represents an entire organization, department or constituency. It is important to clarify when each participant is voicing their own individual ideas, or whether they are speaking for the larger entity that they represent. Clearly, the representation function within coalitions and collaborations is of critical importance, and needs to be structured in such a way as to ensure that representatives are accountable to their member organizations and / or other collaboration members and committees.

The strength of coalitions and collaborations is their link to member organizations and constituencies. Collaboration legitimacy and credibility depend upon continuous accountability to this base. When an organization decides to join a collaboration, the person(s) it sends becomes their representative, and assumes responsibility for communication between the collaboration and the organization, conveying policies and fulfilling commitments from both ends.

Collaborations need to clarify what is expected of organizational representatives, in order to avoid negative consequences, such as:

1. MISrepresentation: It is often not clear whether individual participants are acting independently or as designated representatives of their organization. This is especially common when an individual's affiliation is noted "for identification purposes only." Even if the illusion of direct affiliation is desirable, this representation "in name only" does not carry the weight of the organization behind it.

2. LOSE representation: Collaboration participants may begin to make decisions and commitments for the collaboration without consulting their organization. In this way they may lose their connectedness to the organization they represent, and their role as the liaison is diminished.

3. CONFUSED representation: Where coalition participants are active in many organizations, they often wear "multiple hats." It is not clear which organization(s) they are speaking for, or where they are bringing back information from the collaboration.

4. UNSTABLE representation: While rotating or substitute representatives can allow for greater more flexible involvement of collaboration member organizations, it can also hinder the collaboration efficiency that evolves from the familiarity and trust of a more stable working group.

Accountability to member organizations is improved by:

- minimizing confusion about representation

- requiring consistency among organizations on what their representatives are held accountable for, and the types of issues that require the organization's direct approval

- building in mechanisms for communication with an approval from member organizations and constituency.

- active communication among representatives if more than one representative is involved.

The representation function is further complicated by the fact that collaboration participants may be called upon to serve as representatives from one level of the collaboration to another, as for example, when a committee has a representative on the Steering Committee, or a local affiliate has a representative on the regional level.   The role of local, regional or committee representatives bears similar responsibilities to those of the representative to their own organization.   Such representatives are supposed to be the link between different levels of the collaboration. Specifically they are expected to:

- keep the participants at the level that they represent informed about relevant collaboration decisions, business, plans and positions

- provide regular reports to the collaboration about the work at their level and convey their concerns, decisions, and plans

- help to ensure that decisions made for the collaboration are realistic, given the resources and priorities of each level, and that collaboration-wide decisions are implemented at each level.

The collaboration structure should reinforce the representation functions that are played at each level, and build in mechanisms to maintain accountability.

D. OPERATING PROCEDURES

While By-Laws are commonly used to outline the structure and basic processes of an organization, collaborations require a more specific set of operating procedures in order to explain how the collaboration's work will be done and to establish protocols for ongoing tasks and expectations of leadership and membership.

Some common understanding of how collaboration/coalition business will be conducted is essential. At the beginning, it is best to leave room for flexibility in structure and process.   Give members a chance to get to know each other and become more familiar with the terrain for collaboration and project development.   Clarify the process of how people will work together before creating a firm structure.   Development of preliminary operating procedures should occur immediately - in order to get the collaboration going and avoid "process" problems. Some aspects of these procedures will change as the coalition becomes more established. At first there can be loose guidelines; later the group might prefer something more formal.   A statement of operating procedures might cover:

- organizational structure
    - leadership titles and responsibilities
    - committees
    - staff roles and responsibilities (if any)
    - lines of responsibility, supervision, communication
- accountability to member organizations
- membership criteria for voting and non-voting membership
- criteria for representation and participation from each member organization
- frequency of meetings
- time period covered and schedule for major activities
- inter-organizational communication methods and frequency
- decision-making process and methods
- conflict resolution methods
- how coalition/collaboration resources will be allocated
- how progress will be evaluated
- how operating procedures may be amended

E. DIVISION OF LABOR WITHIN COLLABORATIONS

Certain tasks need to be fulfilled in all collaborations. It is helpful to anticipate this work and develop structures (e.g. committees, work groups) to ensure that it is handled.

Organizing and Outreach: Coalition-building requires ongoing organization and outreach.   The larger the membership, the more critical and time consuming this function becomes.   Members need to be apprised of all information and upcoming events, and to have a mechanism for input and feedback on almost everything the coalition does. Information needs to be communicated to and from the coalition centrally, and opportunities need to be organized for members to communicate laterally with each other.   New participants or emerging leaders need to be recruited and involved in the coalition, and people who have pulled back need to be re-engaged. Each meeting that is organized requires a great deal of planning. Developing the agenda and processes to be used in the meeting and preparing presenters; handling logistics such as setting up the room and preparing refreshments; sending out in advance materials that will be discussed, and calling, faxing and otherwise encouraging people to attend. Organizing and preparation are the glue that hold together a collaboration.

Membership Recruitment and Development: This task may be handled by a specific group within the coalition. They would be responsible for outreach, membership orientation, updating the mailing list, and ensuring that members know how they can participate. Alternatively, every member may have this responsibility.

Governance: Collaborations/ coalitions often have officers and an executive committee or steering committee who oversee administration and policy development as well as program activity. Steering committees monitor collaboration activities and implementation of any contracted workscopes; oversee staff use; conduct regularly scheduled evaluations; monitor and enforce mutual agreements made by members to perform work or otherwise participate in collaboration activities.

In cases where the collaboration receives funding, a separate advisory committee for that grant may need to be established to keep current on contract compliance. This grant oversight committee may be a subcomponent of the steering committee. Collaborations that are incorporated will need to have a Board of Directors, and this Board can fulfill this function.

Whichever governing body exists, it is essential that it act in the interests of the full coalition, obtain their input and provide feedback to the full coalition through established mechanisms of communication.

Fundraising: Coalitions which seek grants require collective decisions about what they will do for each grant, and committees to oversee program development and contract compliance. Committees should be established to monitor overall parameters for coalition fundraising. For example:

- the activities for which the coalition will seek funding to support

- the process by which all coalition members can have input into the decision to apply for funds/respond to RFPs

- whether the coalition will apply for funds from the same source as its member organizations; and if so, for which activities

- whether the coalition may apply for funds to support the whole coalition, or for only some component, activity, or subgroup/committee?

(For additional information on this, see Chapter 10 on *Sustaining the Effort: Fundraising for Collaborations and Coalitions.*)

Fiscal Management and Reporting: Once grants are received, the collaboration needs to develop some means of providing oversight, to ensure that the funds are utilized for the approved and planned projects. There should be accountability to the collaboration as a whole for the use of funds raised by the collaboration. The collaboration might form a fiscal committee to review staff or volunteer work on cash disbursements, bookkeeping, and fiscal reporting. This committee or the full collaboration would approve budgets; expenditures should follow the budget, thus requiring little more than monitoring. A separate set of books should be kept for the collaboration's funding, with individual accounts for each grant or source. Standard reporting forms should be developed and completed on a regular basis by each funded subcomponent/agency.

Communication: Everything that a collaboration does needs to be communicated to or from its members, and many things need to be communicated to the public. Usually staff or leadership of the collaboration are responsible for implementing the communication process -- but various structures and practices should be in place. Among the possibilities:

> Committee/Task Force reports periodically produced on progress and problems.

Electronic mail and/or use of bulletin boards (for collaborations whose members have computers and modems) provides a structure for rapid transmission of information to and from a large network.

Hotlines - telephone numbers or dedicated phone lines with answering machines - that members or the public can call for up to date information on all coalition business.

Information packets - with updates on relevant issues, summaries of coalition correspondence - prepared and distributed to relevant participants.

Mailings of meeting minutes, agendas and background information - prepared and sent to all relevant members.

Faxes - a rapid substitute for mailings, when no personal communication or response is required.

Newsletters or bulletins for members or the broader public.

Orientation packets for new members: a package of general information about the collaboration including things like its statement of purpose, membership contact list, operating procedures or by-laws, reports or news articles about its work.

Personal contact: direct in-person and telephone communication.

Planning Documents materials developed by one part of the coalition and disseminated to other parts of the membership for comment and input before being finalized.

Telephone trees - a chain order for making phone calls, where one person calls several others. The "tree" may begin with staff or committee chairpersons.

Personnel: If there is going to be paid staff, then the coalition should establish a system for hiring staff, and assigning and reviewing staff work. Staff are to be primarily accountable to the coalition as a whole, regardless of where they are located, or who funds their job. Staff work should be generated from the coalition, and staff should regularly report to a coalition steering/governing committee. Supervision of staff should be performed by someone who is accountable to the collaboration as a whole.

Program Development and Reporting: Coalition programs should emphasize a) projects that serve all its members -i.e. hiring a fundraiser or media specialist that will help everyone, or b) reflect joint activities such as service coordination or advocacy that unite the different but related efforts of collaboration members, or c) projects with separate components which are

performed by different collaboration members, united through some central coordinator. Whatever the coalition's programs, a structure for implementation is needed.   This might be a committee with representatives from all the participating organizations, led by a staffmember or a representative of the lead agency. Or it might be a program committee that coordinates several contracts or volunteer projects.

The structure should build in a way for the coalition to ensure that projects do what was expected, and remain accountable to the coalition as a whole. What the coalition can do, in the name of the coalition, and with specific grants, needs to be clear to all participants.   If participants are doing something for their own organization in the name of the coalition, or with funds from the coalition, this is problematic, and some mechanism for getting them back on track is needed.   Contract compliance can be ensured by establishing written procedures, target dates, and corrective actions. The collaboration can obtain training or technical assistance to help members perform planned activities.

Program Management and Evaluation: Whatever the work of the collaboration, someone, or a group, needs to monitor the process to ensure that plans are being carried out, tasks completed, and follow-up conducted. This usually becomes a staff function, although leadership often sets the pace and the steering committee (or equivalent) regularly reviews progress and suggests new work.   Ideally, action plans are developed which clearly identify what is being done, when, how and by whom.   If everyone in the core working group is operating with such an action plan, it is easy to track progress, locate delays and pinpoint areas for intervention or a change in plans.

Planning: Comprehensive planning on a large scale is often done by coalitions which seek to improve certain conditions or to create proactive projects. The planning process could include different methods (e.g. survey, focus group, interview, use of statistical data, community planning sessions), implemented in various sites throughout the target area. A group of collaboration members representing different issues, constituencies or geographic locations would form a planning task force or committee, and would coordinate the work.   The overall plan or vision should incorporate all its separate parts, and be approved by the full membership.

Leadership Development: Identifying potential leaders, helping them to emerge and strengthening their skills are important tasks for collaborations. Most groups experience a change in leadership by default -- often a vital person leaves or is replaced in their job, and their leadership functions need to be fulfilled by others.   Strong collaborations prepare their new leaders systematically - structuring in various opportunities for them to observe and

practice the tasks that are required. (See section on Collaboration Leadership for more details.)

Public Relations and Public Information: If collaborations or coalition are engaged in social change, or if the public needs to know about their work, the task of developing public information is essential. Collaboration publicity, conveyed through newsletters, E-mail, speakers bureaus, reports or special mailings, may focus on:

- identification of the collaboration, such as general brochures or fact sheets
- information about specific initiatives or accomplishments
- legislative alerts
- interim victories and new strategies
- social or economic conditions that the public should be aware of
- schedules and agendas for future meetings or conferences
- press releases

Collaboration Organizing & Development: These functions are usually fulfilled by Committee Chairpersons and/or staff.   They include:

- organizing meetings (regular and special)
- sending meeting reminders and other mailings to all members
- recruiting new members to involve all relevant players
- providing new members with orientation materials and participation guidelines
- updating mailing lists to include new members
- maintaining a complete file of minutes, attendance sheets and other documents and ensuring that members obtain the minutes and other written information
- preparing meeting agendas that a) complete or follow-up on decisions made at previous meetings, b) include important new collaboration business and c) connect committee work to the work of the full collaboration
- delegating tasks and following-up on assignments
- facilitating and following-up action plans, making sure that work is distributed among as many members as possible.

G. DECISION-MAKING

Decisions made by collaborations will affect all their members and inform the work that they do. Because of the need to cultivate shared ownership, collaboration decision-making needs to include many levels of participants. Records of decisions should be consistently kept and distributed and available to all relevant parties.

Identifying who the decision-makers are: Collaborations need to verify who is eligible to make different kinds of decisions. Considerations include the following:[2]

- Is it one vote per organization or per person?

- Is there proportional representation - for example, one person voting for every twenty?

- Can whoever is present when decisions are being made *vote*, even if they are new or do not represent a specific group?

- Can each person vote regardless of their position in their own organization, or can only organization directors or board members vote?

- Can there be proxies or substitutes for voting members?

- Do people have to be present or can they vote by fax, ballot, etc.?

Some groups establish quorums for each part of the decision-making structure. It is also important to have a policy on who cannot vote. Non-voting participants may have input, if time is structured for discussion of issues prior to decision-making.

Making Informed Decisions: Everyone who is to be involved in the decision-making process needs to receive relevant background information in order to make an informed choice. If decisions are to be made at meetings, the agenda and background materials should be distributed well in advance so that participants can arrive prepared and informed.

Mechanisms for non-attending members to have input into decisions: If relevant participants cannot be present for a decision-making session, their input should be obtained in another way - e.g. over the phone or by fax or proxy. Using a list or roll call will help to identify who is missing.

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[2] Although decisions can be made by various means, these examples use the term "vote" for purposes of clarification.

Communicating and Abiding by Decisions: Decisions should be actively communicated to all members. Efforts should be made to identify the appropriate persons within an organization to receive this information. Minutes of meetings should clearly delineate decisions made. A log book may be kept to record all decisions, and use as a handy reference. If an agreed-upon decision-making approach is used and a set quorum established, there should be little difficulty in recognizing when decisions are made and abiding by these decisions. This does not negate the occasional need to revisit, revise or rescind a decision.

Obtaining approval from the full coalition/collaboration: Clarify in advance what situations will require full coalition approval e.g. can the coalition sign or develop a position paper? write a letter of endorsement? join a lobbying effort? Also clarify the process for obtaining this approval in a timely fashion. e.g. faxes, phone trees. Coalition members can be delegated to take charge of different issues and responsibly involve and report back to the full coalition.

Obtaining approval from the member organization (managing the Accountability/Autonomy tension) :   It is important to clarify the types of issues which will require authorization or formal approval from the leadership of the member organizations which are represented in the collaboration. (see above, the Representation Function). The collaboration participant who represents an organization should be accountable for involving their own organizational leadership in collaboration decisions, in accordance with their agency's decisionmaking practices. The collaboration may want to keep records of the types of decisions which will require this outreach, as well as suggest processes to ensure that it occurs in a timely fashion.

Decision-making Approaches: There are a variety of approaches to decision-making. Your collaboration may use different approaches for different occasions or tasks. (see below for more detail on these approaches)

- nominal group technique
- consensus
- working consensus
- vote, with winning majority of 80%, of 60%, or whatever percent you choose
- vote, with simple majority (51%)
- straw vote
- no action unless there is unanimous support

How to Manage Dissension: One strategy for enabling action when there is no consensus is to "agree to disagree". Options for dissension include:

- each member has veto power
- only those members supporting a decision sign on; those opposing do not
- dissenting participants can articulate their own position or develop their own action

Dividing up Decision-Making Areas: Operating a collaboration is complex. There are too many details to involve everyone in decisions about everything. It is best to divide up decision-making responsibilities. Different levels within the structure can be assigned primary responsibility for distinct **areas of** decision-making. **Distinct areas for decision-making include:**

- administration (coordinating and delegation)
- domain (goals, target area/group, purpose)
- strategy (activities and tactics)
- evaluation (review progress and amend plans)
- leadership selection

See page 67 for an example of how collaborations can divide the decision-making responsibilities.

H. DECISION-MAKING APPROACHES

Coalitions and collaborations can use a variety of decision-making approaches. Different situations call for different methods.. Here are instructions for four popular models:

1. NOMINAL GROUP TECHNIQUE: (most inclusive, bottom up)

Facilitator asks each person to write down, on their own paper, 1-3 responses to the question.

Facilitator asks each person to read their responses, and lists them together on one flipchart.

Facilitator and group consolidate ideas where possible, collapsing the list down to about 8 - 10 separate ideas.

To narrow this down to 3 priorities, Facilitator asks group to choose the three most important ideas by a show of hands. Each person gets three votes. The Facilitator writes down the number of votes next to each idea.

The Facilitator identifies the 3 top priorities as those with the highest number of votes.

2. CONSENSUS. (allows room for explanations & other ideas; deepens understanding of the issues)

Facilitator encourages discussion and helps group to arrive at consensus.

Facilitator structures time to allow one (brief) speaker for and one against each item on the final list.

Time permitting, dialogue is extended, allowing people with certain points to persuade and convince others.

Discussion is directed into some form of consensus -- usually this evolves on its own.

Agreements are clarified, and points of disagreement are separated out for further discussion.

The depth of dissension surrounding remaining items is brought to the surface, and the process continues or changes to a different decision-making approach.

3. VOTING: (gets the job done, does not allow for individual perspectives, or depth of understanding)

Issues to clarify before a vote is taken:

- what is a majority? 51%? 60%? 95%?
- who can vote? How many times? (this is an issue if you have more than one person from an agency, or any other block of voters that can offset the equality of the vote.)
- options for dissension -- if someone's idea is voted down, how can they feel comfortable with the group's decision, and continue to participate?
- voting methods -- secret ballot, show of hands, voice vote; participation only at meeting, or by mail, fax or telephone

4. STRAW VOTE: (determines whether there are clusters of agreement; an interim measure) Take a vote, (see a show of hands) but use it only for temporary information, not as a final decision.

SUGGESTED DIVISION OF DECISION-MAKING RESPONSIBILITIES WITHIN A COLLABORATION

The following chart suggests one way of dividing up primary responsibility for decision-making among different levels within a collaboration or coalition. These divisions are not fixed or linear, and in fact they are often interactive.

SECTOR / POSITION	TYPES OF DECISIONS
Executive Committee/ Steering Committee/ Board /Officers	• Policy development and implementation • Structure and process for collaboration work • Evaluation of process and products • Criteria and job descriptions for paid or volunteer work • Direction and coordination of staff • Budgets and fundraising plans • Creating/dissolving committees or task forces • Program evaluation • Resource allocation
Committees or Work Groups	• Program priorities • Implementation strategies • Planning priorities • Action priorities • Program priorities • Funding and program development • Evaluation of programs • Problem-solving
General Membership	• Ratification of operating procedures, by-laws and amendments • Election of officers • Identification of new committees • Involvement in planning process for the entire collaboration • Mission and goals • Strategies, tasks and actions

Individual/ Organizational Members	• Degree and level of participant involvement, contributions, activities (membership agreement)
	• Implementation of shared tasks and activities
	• Implementation of subcontract (if any)
	• Public identification with the coalition/collaboration
	• Desired accountability to organizational leadership
	• Evaluation
Lead Agency (if any)	• Administration
	• Program management
	• Fiscal management
	• Monitoring subcontractors
Paid Staff (if any)[3]	• Day to day tasks and priorities
	• Processes and participants for project implementation
	• Membership involvement and communication
	• Training and leadership development
	*Staff, alone, should **not** have decision-making power for the collaboration on matters relating to goals, strategies and leadership development.*

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[3] See also Chapter 8: *Staff Functions and Resources to Help Build Effective Collaborations.*

COLLABORATION / COALITION STRUCTURES

One organization pays another to deliver services or to handle administration

$$ Funder pays different grantees to work with each other and perform different functions.

= $$ Two or more organizations produce joint projects

In-kind service or resource exchange

Lead agency and subcontracters

Joint activities or shared staff

Coalition or collaboration of autonomous organizations linked through a central coordinating body

A POSSIBLE COLLABORATION STRUCTURE

Members

Committee

Committee

Committee

Committee

Committee

Officers

Steering

Committee

Staff

Sector

Sector

Sector

Sector

Representatives of organizations may participate in the collaboration through committees or sector
They may also be officers.

The Steering Committee may consist of representatives of some sectors or committees or both.

Officers, and staff, if any, are part of the central coordinating mechanism for the collaboration.

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KEY

= Independent Organizations or Sectors (i.e. Business, Education, Government)

STAFF FUNCTIONS AND RESOURCES
FOR EFFECTIVE COLLABORATIONS

OVERVIEW

Staff, whether donated by member agencies, or hired and paid directly by the collaboration, are essential for collaboration efficiency.   There are several ways to fulfill staff functions within a collaboration:

Collaborations With Paid Staff

- Collaboration hires its own staff.

- Collaboration uses staff donated from a member organization

- Collaboration uses staff provided by an outside organization e.g. a technical assistance provider or funder

- Lead agency provides paid staff to the collaboration.

Collaborations With No Staff

- Collaboration members volunteer to handle needed functions.

- Collaboration members are assigned specific responsibilities.

- Collaboration members are expected to contribute specific staff or resources. This may be spelled out in contracts or funding proposals.

- Collaboration members share responsibilities by rotating different tasks, or working together in task forces or committees to get things done.

A. STAFF FUNCTIONS IN A COLLABORATION OR COALITION

A basic division of responsibilities exists between collaboration leadership and staff, although in practice there is much interaction among the two roles. While leaders may provide the vision, staff find ways to implement it. Leaders determine policy, arena and timetable, and staff acts within these parameters. Leadership may determine overall strategy;   staff needs to mobilize the membership to carry out their part. Leadership makes most decisions relating

to the purpose and image of the collaboration; staff ensures that activities and materials reflect these appropriately. Leaders identify potential members for the collaboration and may make the introductory effort to invite them to join; staff assembles the membership package and follows up to include new members in collaboration activities and communication links.

Staff generally focus on the nuts and bolts of collaboration work, particularly around internal communication, public information, and day-to-day operations. They should work closely with the officers or steering committee, assisting the leadership in sustaining momentum, keeping on target and fulfilling their respective tasks.   If staff are allowed a margin of decision-making, it is generally around division of labor or administrative details. Staff may act as a repository for information that needs to be communicated among members. If the collaboration is engaged in research, staff may coordinate the data collection and writing, compiling documents for the members to review, revise or approve before it goes out under the collaboration imprimatur. Keeping track of participation and follow-up on plans, decisions and action taken are also staff functions.   Staff are in the position to send out reminders or call when someone misses a meeting. Staff functions are the glue that keeps members involved, work moving ahead and collaborations cohesive.

B. STAFF ACCOUNTABILITY

Regardless of how staff is obtained, the key issues for collaborations are who controls their hiring, supervision and evaluation.   If staff are to be hired or used by the collaboration, clear job descriptions, approved by key collaboration members, are needed.   Make sure lines of accountability and supervision are established and followed. Staff are to be primarily accountable to the collaboration as a whole, regardless of where they are located, or who funds their job. Staff work should be generated from the collaboration, and staff should regularly report to a collaboration steering/governing committee. The collaboration should establish a system for assigning and reviewing staff work. If possible, a specific supervisor, representing collaboration leadership, should be assigned to work with staff on an ongoing basis. Criteria for this supervisor should include: proximity to staff, expertise and time.

C. STAFF PRIORITIES

General guidelines for staff priorities should be established by the collaboration as a whole, and used to support the staff's independent work on behalf of the collaboration.   If the staff reports to both the collaboration and some other

group (e.g. funder, technical assistance provider, lead agency) their responsibilities to each party should be clear to all. Staff should keep a log of time use and management, which the collaboration (or its committee) can monitor.   If staff time is not being spent on collaboration priorities, the collaboration needs to explore why, and correct that through supervision and/or negotiations with relevant parties.

D. ADDITIONAL SUPPORT RESOURCES NEEDED BY COLLABORATIONS

In addition to staff, collaboration functioning requires some basic resources. These should be budgeted for or obtained as in-kind donations. They include:

- Computer (ideally with modem and electronic mailbox - "E-Mail")
- Copier and fax machine
- Meeting refreshments
- Meeting space for the collaboration and its committees
- Office space for staff
- Office supplies - including flipcharts, presentation materials, training materials
- Postage
- Printing (stationery, reports, newsletters, as well as multiple copies of correspondence and important documents for collaboration members)
- Research materials/conference fees
- Separate depository for collaboration records
- Telephone
- Transportation /travel resources

E. STAFF ROLES

Collaborations, depending upon their membership's expertise, resources, and purpose, may require different kinds of staff. Some typical collaboration staff roles are described below.

COORDINATOR/ ORGANIZER

Overall challenge: to balance leadership capacity-building, internal development of the collaboration and external movement of collaboration toward goals and results.

1. Develop leadership: Train indigenous leaders to assume visible leadership roles such as chairing meetings, representing the coalition, public speaking, etc.

2. Act as contact person/information clearinghouse--- Serve as a resource and connector for member agencies and outside groups who wish to assess needs or deliver programs to the community.

3. Follow-up on implementation of tasks identified by leadership core. Assist where needed.

4. Trouble-shoot and mediate in disputes in the community helping system, or among the membership of the collaboration.

5. Maintain the collaboration: focus on the "nitty-gritty" work that is difficult to delegate - e.g. scheduling and planning meetings, seeking out lost members, orienting new members, maintaining project files and ensuring that relevant members have copies of necessary materials, keeping records of decisions, activities and accomplishments.

6. Help the members to set goals and measure progress. Assist in any formal evaluation efforts.

7. Organize celebrations and special events.

8. Publicize the achievements of the collaboration.

9. Assist committees with research and policy efforts, or direct action or programs that they are implementing.

10. Prepare progress reports and updates for funders and collaboration members.

PLANNER

Technical resource person with planning and organizing skills to:

1. Help identify community resources and needs, using techniques such as focus groups, futures searches, interviews, surveys, and statistical research.

2. Involve a broad spectrum of the community in the planning and problem-solving process.

3. Develop planning tools and coordinate planning approaches.

4. Develop specific and comprehensive plans.

5. Assist groups in integrating services and implementing plans.

6. Assist collaboration in targeting and accessing outside resources.

7. Demystify the planning process; teach planning skills and techniques to interested collaboration members.

EVALUATOR

1. Involve all key project participants in the design, implementation and review of the evaluation process.

2. Develop measures of program effectiveness, as part of the planning process. Determine how success will be demonstrated and assessed.

3. Develop evaluation instruments to monitor progress and achievements.

4. Help the collaboration participants to understand and utilize the evaluation reports as tools for project enhancement.

ADMINISTRATIVE ASSISTANT/SECRETARY

1. Attend committee and general meetings and assist in taking minutes.

2. Provide assistance in scheduling and confirming attendance at meetings and other events.

3. Handle all project word processing, correspondence, and telephone work, and fax communications.

4. Regularly update the collaboration's mailing list and data base.

5. Maintain a centralized base of information and communication serving all collaboration members.

6. Provide assistance with record-keeping and program reporting.

PHASE II: IMPLEMENTATION

and

PHASE III: MAINTENANCE
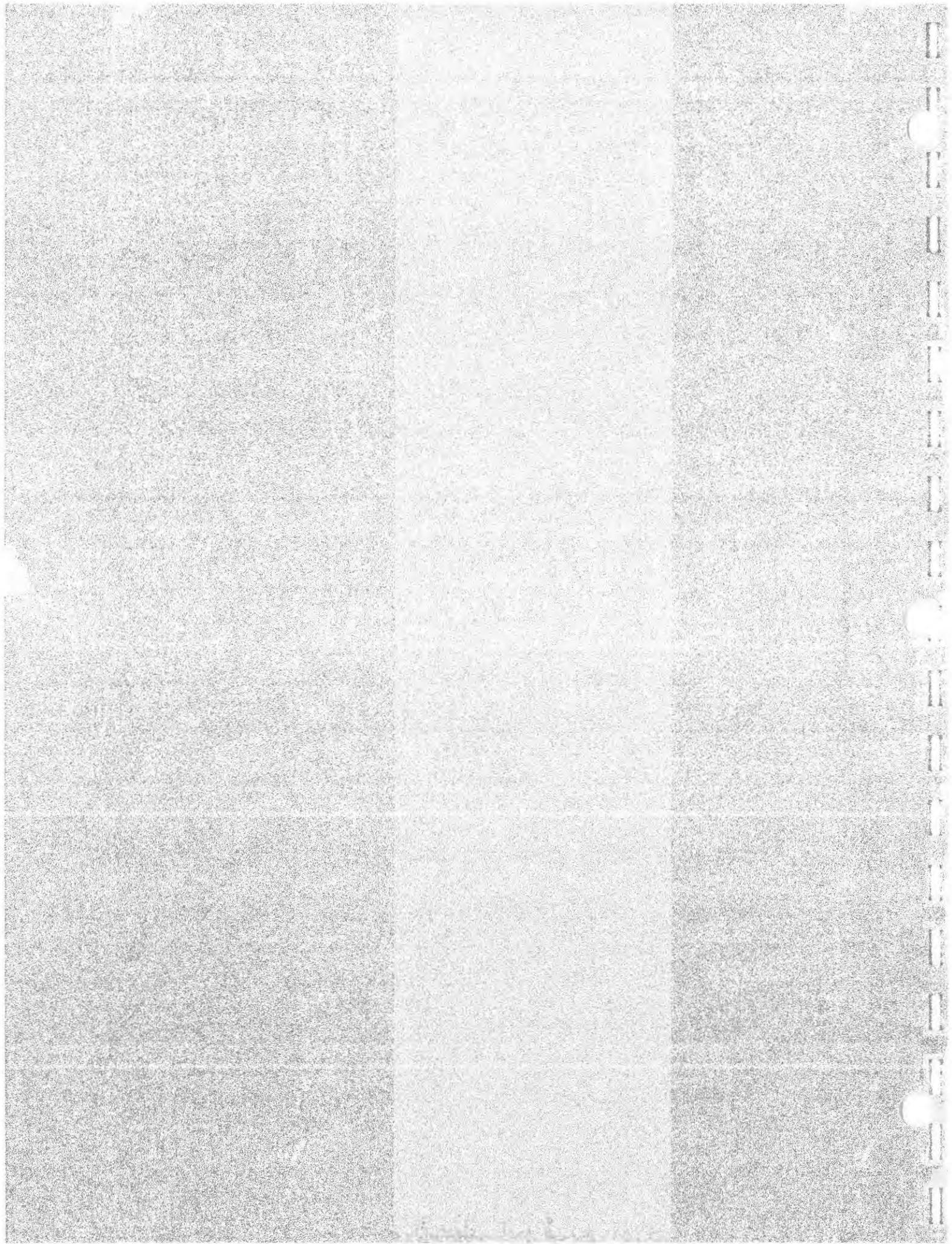
TASKS OF PHASE II: IMPLEMENTATION and PHASE III: MAINTENANCE

The stages of collaboration/coalition development and change, -- **formation, implementation, maintenance, and termination** -- are fluid and permeable. The key dynamic over the organizational life of a coalition/collaboration is to balance stability and change. Coalition progress over time is not linear or unidirectional; rather past processes are continuously revisited, reinforced or revised as goals are pursued, accomplished and changed. There is an interactive effect between movement toward external goals and cultivation of internal processes, members and leaders.

The primary tasks of **Phase I: Formation** include selecting members and goals, creating a working leadership group, and deciding on basic operating procedures and structure. (for more information on Phase I, see Membership Recruitment and Cultivation, Purpose, Goals and Strategies, and Developmental Phases and Tasks overview.)

After the leadership core has started to meet, and plans have been made to begin the actual work to achieve the identified goals -- whether social change/political action, service coordination, organizational development, planning, or conflict resolution -- the **Implementation phase** begins. Sustaining collaborations after the formation phase is a complex task, requiring competence and focus. In the **Implementation and Maintenance** phases, collaboration leaders must focus simultaneously on activities in three dimensions:

1) development of internal working relationships and operations among coalition leaders;

2) maintenance of linkages between member organizations and the coalition/collaboration; and

3) progress toward achieving the product or goals through sound programming, strategies, administration/management, staffing and funding.

The following chart lists some common tasks of collaborations during Phase II and Phase III, and how they may be approached on these three dimensions.

AREA	INTERNAL WORKING OPERATIONS and RELATIONSHIPS (Things that coalition leadership needs to do with organizational representatives)	COALITION & MEMBERSHIP (Things that the coalition needs to do with each of its member organizations)	EXTERNAL GOALS (Things that the coalition as a whole needs to do with outside targets to achieve desired outcomes)
GOALS STRATEGIES ACTIVITIES	• Assess whether you have the resources/ members to address original goals. If not, change your goals. • Recruit new members if new or additional contributions or constituencies are needed. • Clarify ideological positions and assess whether differences can be reconciled or avoided. • Publicize the work of the collaboration/ coalition. Be sure all members know about new activities being undertaken, resources/funds being sought. • Orient representatives to their roles and responsibilities within the collaboration.	• Get agreement on goals, strategies and activities from the leaders or governing bodies of original and new member organizations - not just their representative who attends the coalition meetings. • Identify and reconcile ideological differences, if possible. • Member organizations need to decide where they want put their energies -- is the coalition's work still a priority? Can participation meet some of the goals of the member organization? Does the coalition compete with them, and if so, what can be done about it? • Keep the full membership involved and informed. Hold regular events for the full membership - e.g. annual meetings, community-wide events; distribute newsletters and updates on progress and problems.	• Develop a work plan/action plan including tasks, assignments, and deadlines. • Begin implementation of activities to meet goals. • Reassess goals and activities in light of changes in the external environment ...e.g. new funding streams; collaborations • Decide how to satisfy funders without losing original vision, goals, or straining the collaboration's resources. • Be useful and resourceful to the target and to funders. • Resist cooptation & competition. Be alert to "divide and conquer" strategies of the opposition. • Decide how strategies may be changed if required by actions of the target or funder. • Be prepared for negotiation and compromise.

AREA	INTERNAL WORKING OPERATIONS and RELATIONSHIPS	COALITION AND MEMBERSHIP	EXTERNAL GOALS
MEMBERSHIP RECRUITMENT & DEVELOPMENT	• Increase benefits provided to members, and recognition of members who are participating. • Incorporate new members - replace the equilibrium -- don't get distracted. • Determine how to handle changes in representation -- temporary and permanent replacements, alternates, substitutes.	• New member organizations need to learn about coalition responsibilities, protocol and history. • Coalition must assess what the member organizations expect to get out of the coalition -- what pay-offs are desired in exchange for their contribution. • Coalition must demonstrate results that the member organizations are seeking. • If there is membership drop-out, explore why and if it is a problem, address it. • Commitment & contributions made on behalf of member organizations must be approved & followed through/delivered	• Persist with activities to influence the target, building on the base. • Maximize publicity on the collaboration -- maintain a strong, vital image to continue to attract power and funding and to bring members positive results. • Accomplish interim goals or re-define success.
LEADERSHIP	• Leadership replacement & succession should be built in processes. • Create opportunities for leadership development and capacity building throughout the coalition/collaboration.	• Member organizations should approve of and support leadership. They should also be encouraged to lend their own leaders or identify others to assume leadership responsibilities.	• Be sure that the public knows the names and titles/affiliations of the staff and volunteer leaders of the collaboration/coalition. • Leaders must negotiate with outside targets and funders, but continue to reflect the will of the coalition and not abuse the opportunity to promote their own organizational or personal agenda. (mixed loyalties)

AREA	INTERNAL WORKING OPERATIONS and RELATIONSHIPS	COALITION AND MEMBERSHIP	EXTERNAL GOALS
ADMINISTRATION **SUPERVISION** **FUNDRAISING & FUND MANAGEMENT**	• Create a division of labor between members, paid staff, leaders • Help members to balance how much they are putting into the effort with how much control they have over the operation of the collaboration. • Sustain the commitment & contributions of the larger membership & the organizations that they represent. • Staff supervision should reinforce accountability to the full collaboration or its executive body. • Fundraising plans should reflect shared priorities of the full membership, or projects that have been approved by the collaboration.	• Clarify roles of staff used/shared with organizations & coalition. • Identify issues which require member organizations & their constituents to have input or votes • Organizations need to assess costs & benefits of continued participation -- in terms of drain on resources / workload. • Clarify how to identify member organizations when conducting collaboration business. Determine what the collaboration's letterhead will be, and which organizations will be listed. • Member organizations which are to be part of proposed projects should participate in their design from the proposal stage on. • If member organizations are involved in subcontracts on grants, determine how they can be held accountable to the collaboration as a whole for their work.	• Develop a mechanism to handle administrative responsibilities in order to keep things running smoothly and continue to devote significant energy to accomplishing external goals. • Handle administrative responsibilities entailed in fulfilling grant obligations - e.g. supervision, contract compliance, program monitoring and reporting, fiscal management. • Make sure that the collaboration/coalition completes all necessary program and fiscal requirements. • If there is a lead agency which is primarily responsible for contract compliance, determine their relationship with the target and the extent of their responsibility for accomplishment of goals.

AREA	INTERNAL WORKING OPERATIONS and RELATIONSHIPS	COALITION AND MEMBERSHIP	EXTERNAL GOALS
STRUCTURE **DECISION MAKING PROCESSES** **OPERATING PROCEDURES**	• Establish communication mechanisms between meetings. • Develop sound committee operations. • Determine the process for decision-making, and identify who will be involved in making different sorts of decisions. Determine how open the working decision-making group should be. • Reconcile different levels of power between organizations members & the position of their representatives who are making decisions together. • Maintain and strengthen working relationships. Reassess ground rules. • Manage diversity of styles of organization; race, gender, class. Encourage caucuses and special subcommittees to allow for differentiation. • Determine how disagreements will be handled and clarify ways for members to dissent. • Be prepared to deal with the tensions of mixed loyalties & self interest/altruism.	• Ensure that active members are reflective of characteristics or views of the constituency of the coalition. • Strengthen the communication mechanism between member organizations & coalition leadership • Clarify what kinds of information needs to be conveyed to/from the member organization. • Reinforce representatives' accountability to the member organizations. • Clarify approach to substitution of representation. • Maximize power by finding new ways to incorporate the base in the work of the coalition.	• Establish working groups to oversee implementation of the action plan, to carry out decisions, and to evaluate progress. • Determine who can represent the collaboration/coalition in public, and how they should do so. • Identify spokespeople and alternates. Clear what they will say in the name of the collaboration and ensure that member organizations will stand behind them. • Engage in joint program implementation.

SUSTAINING THE EFFORT: FUNDRAISING FOR COLLABORATIONS AND COALITIONS

OVERVIEW

WHY RAISE FUNDS?   Collaborations and coalitions need funds for their particular projects, but they also need funds for the process of collaboration, itself. This includes staff who can handle the coordination functions, clerical assistants to keep the lines of communication active and flowing, funds for meeting supplies, electronic communications equipment, postage, on-line time for use of computer bulletin boards, and more.

Many coalitions have successfully functioned and survived using only in-kind contributions from member organizations and outside supporters. However, the longer a coalition endures and the larger it grows, the more critical independent funding becomes.

Some collaborations begin as voluntary efforts, and later attempt to seek funds from individual donors, private foundations or corporations, or government agencies. The sources of funding, and the level and approach to fundraising for coalitions do not differ significantly from those used by any not-for-profit effort. If the work of the coalition is controversial or innovative, it may find greater support from individual donors or grassroots fundraising that targets the people most affected by its work. More established coalition efforts, particularly those initiated with a grant, will find it easier to get support from foundations, corporations or government agencies.

There are, however, several ways in which *coalition* fundraising is distinct from fundraising for *single organizations*: A) how the funds come to the coalition; B) the *collective* approach to fundraising; C) distinct strategies for fundraising as a coalition; D) the importance of minimizing internal conflict over fundraising;   E) ways to distinguish coalition projects and to educate funders about coalition work.

A.   WAYS FOR COALITIONS AND COLLABORATIONS TO RECEIVE FUNDING

Most collaborations, themselves, are not initially incorporated as not-for-profit organizations, or tax-exempt, which raises the question of how funds can be

received. There are several options:

- a tax exempt organization is used as a conduit, and the coalition leadership administers the grant

- a non-member organization obtains and administers the grant by establishing a separate account for the coalition

- a member organization receives and administers the grant - either formally, as a lead agency, or in a less formal way

- the coalition hires an organization (such as a technical assistance group or a university) to receive and manage their funds and to provide staff

- member organizations have independent funding and decide to pool resources for space, staff, program or administration; no central coalition fund is established, although resources are applied to coalition work

- coalition members receive funding, either for their own organizations or for joint projects with other members, and a portion of this funding provides general operating support for the coalition

- the coalition becomes incorporated and tax exempt, forms a board of directors and receives its own grants

Regardless of how the coalition/collaboration receives its funding, it is critical that (1) the coalition leadership core approves the funding plans and fund management arrangements, (2) the grant recipient remains accountable to the full coalition, and (3) funds are strictly utilized for their proposed purposes. For this reason, many coalitions develop fiscal oversight committees, and include specific procedures for receipt and management of grants in their operating procedures.

B. FUNDRAISING AS A JOINT PROJECT FOR THE COLLABORATION MEMBERS

Fundraising for collaborations should be a process that involves all potential collaboration members from the conception stage on.   Goals, approach, activities, division of labor and budgets should be created by a joint planning

process that involves every agency that is identified and willing to play a part. Organizations that do not receive funding can still participate in the collaboration by providing donated resources and activities. Funded activities should be consistent with the coalition's established mission and goals.

Coalitions which seek grants require collective decision-making about who will do what for each grant, and what mechanisms will be established for program development and monitoring contract compliance. New collaborations/ coalitions applying for funds as their first step together need to establish ground rules for how they will work together. If a group of organizations applies for funding as a coalition, each of the participants should be involved in conceiving the project and approving the proposal for which they seek funds. Once funding is obtained, each named coalition member should agree to their designated function on the grant and be willing to be accountable to the other members organizations and the coalitions as a whole. If an organization needs to change the conditions of funding or cannot fulfill its planned obligations, such changes must be cleared with the other coalition members and the funding source.

C. COALITION STRATEGIES FOR FUNDRAISING

Coalitions and collaborations are beginning to develop unique strategies for raising funds -- strategies that maximize the diverse contacts and expertise of the coalition membership, and bring in collective gains. Here are a few examples:

1. Increase the pie. Organize to create new forms of funding or new funding streams. For example, a statewide coalition was formed in the 1980s to influence the State to provide funds for AIDS education, treatment and prevention. Each year the coalition does a regional and statewide analysis of the State budget and identifies programmatic priorities for next year's funding. As a result of these efforts, many organizations working on the issue of AIDS can apply for these State grants, from different State agencies. There are many more resources for everyone. At the same time, this annual project has enhanced the coalition's reputation and credibility with legislators and member organizations.

2. Charge for your expertise. Coalitions are frequently asked for information by the media, the nonprofit community, elected public officials, and interested individuals. Maximize opportunities for your members to share information and develop positions on the issues which inform their common work. If your

coalition produces a newsletter, sell it!   Also consider writing and selling studies, concept papers, legislative analyses,   bibliographies, or whatever additional "products" may be derived from the information that your coalition regularly gathers and utilizes.

3. **Ask corporations or businesses** which target your constituency as their market to donate a percentage of their profits to your coalition (in exchange for public acknowledgment of their support).

4. **Ask a progressive fund** such as Working Assets or the Affinity Fund to include your coalition as one of their donor-directed grantees.   These funds also help with public education about the issues and work of your coalition.

5. **Change the guidelines.** Because much coalition work is innovative, it does not automatically fall within the grant priorities or guidelines for most funders. It may be possible to develop alternative directions for funding that would create sources of support for actual coalition efforts. For example, when a significant resource for women's issues was only providing grants to organizations, a coalition of African-American women felt that this eliminated the chances of supporting an important source of local organizing in their communities b-- the individual women leaders who had the vision to launch and run projects, and their community's trust and access to help these projects to grow. The coalition convinced the funding source to revise their guidelines, to enable funds to go to these individual women leaders. This not only brought in new resources, but exemplified how concerned funders can be responsive to changes in community dynamics and needs.

6. **Educate the Funding Community:**   Help funders to recognize the difference between coalitions and individual organizations.   Tell them what is needed to sustain coalition-building efforts. Problem-solve with them about how to avoid competition among organizations that want to work together. Ask that they set up special initiatives for collaborations or coalitions - without diverting funds from individual organizational grants. An example of this sort of initiative can be found in the New York City Community Development Agency, which in 1993 created a special funding stream for community-wide collaborations, separate from their existing grants to individual organizations in low-income communities.   Grants were awarded to service integration and community planning projects that involved at least four organizations. The Request for Proposals required evidence of coalition-building to be part of the submissions, and spelled out a number of milestones for the projects that would   reflect coalition development.

7. Organize for Unified Funding and Contracting: Many coalitions, as well as their members, spend an inordinate amount of time writing dozens of funding proposals for the same project, and if funded, writing numerous separate program and fiscal reports for pieces of larger programs that are operating with combined sources of support.   In New York City, several foundations have collaborated and created a single application cover sheet to simplify the process of determining initial eligibility for any of their funds. A relatively new trend among some government funders is to move toward uniform contracting - e.g. if an agency is operating with several grants from the State government, they can write one application, get one budget, and write one report.   You could take on a similar effort in your area. The time saved on administration will be like adding resources for the programs and direct services of your coalition and its members.

D. HOW TO MINIMIZE INTERNAL CONFLICT OVER FUNDRAISING

Many coalitions operate in the same arena as their members, focusing on similar issues and relying upon the same funding sources for their survival. This can result in competition between the coalition and its members and exacerbate tensions between members who are, themselves, competing for scarce funds. Here are some guidelines to minimize conflict over funding:

1. **Cultivate candid discussions about fundraising targets and needs.** Secrets about fundraising have eroded relationships in many a good coalition. If a member relies upon a certain funding source for their main support, others should be aware of this before they try to go for this funding. If individual agency fundraising plans are shared, they may find ways of collaborating rather than competing. Comparing notes about who gets what kind of funding can also help to identify whether your issue or community is receiving enough attention -- it may identify funders who need to be approached, or even spark a more comprehensive campaign to bring in additional resources to the whole area.

2. **Develop an agreement among coalition members or a coalition policy regarding turf and funding issues.** For example, alternate years when different groups go for funding to certain sources, or agree to approach funders to seek support for a package of programs to be provided by different members.

3. **Carve out a niche for the coalition itself which will benefit members without duplicating their activities.** For example, if members provide

direct services, the coalition can agree not to provide services, but to do advocacy, planning and service coordination.

4. **Act as a funding conduit for members.** Speak with the funding source and have them provide a grant to the coalition that would both pay for coalition operating expenses and cover the costs of its individual members' activities as well.

5. **Establish a policy that prohibits the coalition (at least temporarily) from applying for funds from the same source that funds its members.** Alternatively, require the funded members to allocate part of their grant to provide in-kind support to the coalition.

6. **Coordinate fundraising and program development efforts among members.** Alert members to funding opportunities that arise, and convene meetings for interested members to develop joint applications, or agree upon who will apply.
   Encourage coalition members to coordinate their individual fundraising strategies to avoid unnecessary conflict or duplication of services, and to enhance the likelihood of meeting identified needs.

7. **Mobilize support for the coalition members who are applying for grants.** Provide technical assistance in preparing proposals or submitting necessary paperwork. In situations where the application is to be made by a collaborative of coalition members, the coalition may assist the participants in coordinating the proposal preparation process, and obtaining the necessary endorsements and linkage or support letters. If the grant is to be allocated to a collaborative, the coalition may assist the group in developing a workable division of labor and protocols for accountability to each other.

8. **Use the coalition to help raise funds for its members,** by identifying broad issues that members work on, and doing a fundraising campaign on those. A percentage of the proceeds can go to each member, and a percentage to the coalition, for its general operations.

9. **Ask members to include a donor check-off on their fundraising letters or proposals for funds to support the coalition.**

10. **Ask members to pool their mailing lists. Do some joint publicity and fundraising, using the larger pool of contacts.** Show the public that these groups are working together by listing everyone who is a member of

the coalition; also list all endorsers or supporters. Educate donors about the larger impact their grant can have if they support the collaboration as well as the individual components.

E. RECOMMENDATIONS FOR FUNDERS OF COLLABORATIONS

Public and private funders who support coalitions or collaborations can play an important role in shaping their development and helping them to avoid problems that can be prevented by design.

Requests for proposals or guidelines can include requirements for applicants to submit evidence that they are planning or operating their collaboration in an inclusive and strategic way. They might also require collaboration agreements, letters of participation, unified budgets, or other products that indicate that joint planning is occurring or has taken place.

Additional factors that funders can build into their expectations for grantees include:

1. structure -- a design for management and operations that builds in mutual accountability, interdependent responsibilities, and shared control through leadership positions, committees or other mechanisms.

2. accountability   -- proof that the collaboration has developed mechanisms to remain accountable to their membership base; proof that decisions are made jointly by representatives of all member organizations. This would go far beyond the usual expectation of many funders that grantees are only accountable to the funder through lead agencies.

3. deliverables --   deliverables and milestones should correspond to various tasks and outcomes of each phase of collaboration development. Funders should expect to see deliverables that relate to both process and product. For example, they should provide credit for quantity and quality of outreach and communication efforts entailed in getting participants involved in one meeting -- and not just count how many bodies showed up at that meeting. They need to do more than just count projects and service units, but also look at the number and content of coordinating meetings and referral mechanisms developed, among other mechanisms that foster coordination or integration.

4. budget -- as mentioned above, collaborations require budgets that can support the collaboration function. Funders can mandate certain categories of expenditures that would help groups to recognize their need for these collaboration resources -- such as lines for a Coordinator, network telecommunications, postage, printing, travel and meeting expenses.

5. evaluation -- require periodic evaluations of both collaboration process and products, and build into renewal grants the need to make adjustments as indicated by the evaluations. Also, evaluate each of the components separately and the collaboration effort as a whole.

COLLABORATION LEADERSHIP [1]

OVERVIEW

Trends toward collaboration are increasingly prevalent in the operation of businesses, not-for-profit institutions, community organizations and government. A new type of collaborative leadership is emerging, along with a body of distinct skills and approaches suited to this challenge. Leadership of collaborations requires a range of strategic and facilitative skills, not usually found in just one person. In fact, many collaborations intentionally divide up the leadership tasks, in order to utilize the diverse expertise within their group to handle the complex dynamics of collaboration. Collaboration leaders need to simultaneously manage three critical dimensions of collaboration life: 1) developing trust and accountability with the collaboration/coalition base; 2) maintaining harmonious internal relations within the core working group; and 3) sustaining movement toward external goals. Within each of these dimensions, leaders need to be attentive to both group process and the practical tasks that mark each phase of development. The ability to keep an overview of the whole collaboration while simultaneously attending to its various parts is of central importance.

Collaboration leaders must help the collaboration to continuously define and redefine itself as a result of the dynamic interaction of its membership -- organizations with disparate values, perspectives, experiences and priorities. Such leaders articulate a vision around which diverse partners can collaborate, and offer a constructive process for designing creative projects and solutions. Because collaboration work is still largely uncharted, effective leaders also have to suggest tangible steps, demonstrate the linkages between diverse issues and priorities, and identify the commonalities that unite the effort.

If there is one ideal collaborative leadership style, it is *facilitative*. Rather than directing the effort, these leaders focus on building the capacity of the members to pursue a joint initiative or solve shared problems. Collaboration leaders

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[1] Additional information on leadership is also covered in other sections of this Workbook, particularly: *Chapter 3: Some Essential Components of Coalition Development: The Four C's;* under "Competence"; and *Chapter 7: Structure and Process,* under "Decision-making." For detail on leadership tasks see also *Chapter 4: Collaboration Development,* which describes the various developmental tasks collaboration leaders will face over time, *Chapter 9: Tasks of Phases II: Implementation and Phase III: Maintenance,* which outlines the complicated three-level dynamics leaders will be managing, and *Chapter 13: Managing Dynamic Tensions* which explores some of the major conflict areas inherent in the collaboration process.

facilitate this by creating and managing a structure for cooperation and mutual accountability, as well as articulating the group's collective interest.   As individuals, collaboration leaders must have a high tolerance for ambiguity, because every aspect of the work of the collaboration is in constant movement --issues, targets, and conditions change over time.   Also shifting are the commitment levels and contributions of members, which need to be carefully cultivated and replenished.

Collaboration leadership demands: A) specific leadership functions; B) distinct leadership qualities and skills;   C) a conscious strategy for leadership development; and D) a recognition of the importance of collective leadership.

A. LEADERSHIP ROLES AND FUNCTIONS

While all collaboration participants share certain functions in maintaining the joint effort, leaders have greater responsibility for setting the tone, assessing and managing group process, keeping the activity on target, and handling administrative details.   Their responsibilities may be categorized according to whether they address internal development (group process) or external goals (task functions).   Collaborative leaders need to attend to *both* task and process.

1. LEADERSHIP POSITIONS: Leaders of collaborations have been identified as catalytic individuals, mediators, orchestraters, deal-makers, facilitators, policy entrepreneurs, boundary spanners and brokers. They may hold formal titles including:

- *formal officers*:   President, Co-President, Chairperson/Co-Chair

- *members of the leadership body*: Steering Committee Member, Board Member, Executive Committee Member, Team Leader

- *volunteer or staff leaders*: Director/Co-Director, Coordinator, Facilitator

2.   TASK FUNCTIONS - HELPING TO GET THE WORK DONE: Collaboration leaders need to create a climate which maximizes the diverse expertise of the group members.   They encourage participants to offer information, facts, ideas, opinions, alternatives, and attempt to link these ideas into a coherent plan of action.   Drawing from different sources and ideas, collaboration leaders propose goals, initiate tasks and suggest approaches

that best utilize the resources at hand. Coordination is a critical task -- leaders keep a perspective on the relationship between different groups, tasks, activities and plans.

Since achieving goals is probably the most important determinant of collaboration success, top among leadership responsibilities are implementing coalition strategy, and moving toward goals. This requires strong political , strategic and organizing skills, as well as knowledge of the issue and the target of change. The collaboration leadership function here is to apply this knowledge -- not to direct -- to pull together related ideas, suggestions, plans, proposals, and restate the whole package. Leaders also engage in periodic evaluation that compares group decisions and accomplishments with long-range goals, and the group's values and standards, and make necessary adjustments.

Certain administrative functions need to be fulfilled by collaboration leaders. They need to assess and tailor the type of structure to the work to be done and to the nature of the collaboration: the more complicated or general the goal, the longer the duration and the larger the number of participants, the more elaborate the structure required. Tasks for leaders include scheduling, developing operating procedures, preparing agendas with the necessary input from others, and developing evaluation mechanisms. Reiteration of contracts and clarification of operating assumptions and group goals are essential for keeping the group on task.

Leaders focusing on *task* goals may spend their time on the following activities:
- moving toward the social change goal
- defending against attacks and setbacks
- educating the public
- implementing coalition strategy
- influencing or educating the social change target
- outreach to the community and to member organizations
- organizing and conducting meetings
- planning
- reporting and documentation to funders, public and members

3. GROUP MAINTENANCE FUNCTIONS:

Creating a positive climate for accomplishing the group's tasks is critical to successful collaboration. Leaders need to help the group to develop and maintain a collaboration etiquette, providing ground rules for group conduct and respectful dialogue, and participant agreements to clarify mutual expectations. Providing support for concerns raised by all participants, and drawing out and acknowledging contributions of less assertive members are leadership roles that promote group cohesion and member comfort. Good leaders try to build a sense of identification with the group as a whole, despite competing loyalty to their own organizations. This only can succeed if they do not overidentify with their own personal or professional group and are perceived as even-handed in territorial disputes.

Sustaining participation: Collaboration leaders also maintain internal coalition operations and keep membership involved and mobilized. Skills in mediation, bargaining, managing conflict and consensus building are extremely useful here. Enhancing communication – keeping communication channels open, clarifying decisions, processes and misunderstandings -- is an essential group maintenance function. The ability to rephrase, clarify, and fine tune disagreement helps the group to defuse arguments and find areas of agreement.

Building Consensus and Managing Conflict:[2] Collaboration leaders need skills in managing conflict and in consensus building. Conflict is inevitable because participants will have different priorities and expectations for the collaborative experience, influenced by their position in the organization, their values and commitment to particular ideologies, as well as the intensity of their stake in the outcome. Also, differences in gender, class, color, or culture can spark highly charged interactions which require skillful handling. Encouraging open discussion of differences rather than avoiding conflict reduces tension and enhances trust. Collaboration leaders attempt to work out disagreements and use conflict as an opportunity for constructive problem-solving. Leaders need to be able to distinguish between tensions which are superficial and those which are deeper, as well as whether disagreement is related to personality, tactics, or values. In order to achieve conflict resolution, they try to ensure that the negotiation process avoids a total win or lose situation.

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[2] *Also see Chapter 18: Problem-Solving and Conflict Resolution.*

Leaders focusing on *group maintenance* tasks may spend more of their time on the following activities:

- consciousness-raising/educating membership
- coordinating with other elements of the collaboration
- keeping membership involved (mobilizing members)
- keeping outside supporters involved/informed
- leadership development
- maintaining internal coalition operations

B. LEADERSHIP QUALITIES AND SKILLS

Collaborations and coalitions describe their leaders as possessing many of the following qualities and skills:

1. QUALITIES:

- articulate and persuasive
- charismatic and inspirational
- connected to power structure
- controls and represents a large constituency or organization
- credible, dedicated, proven
- organized; good manager/administrator
- persistence
- sense of humor
- trustworthy

2. SKILLS:

- accent commonalities and minimize differences
- applaud and respect diversity
- balance pragmatism and vision - link an overall vision/purpose to immediate practicalities
- balance process and action (product/task/goal)

- balance stability and change
- balance the 4 "P"'s - people, process, product, politics
- establish a climate of mutual trust and respect
- group development / facilitating skills
- strategic, political skills
- recognize, tolerate and manage conflict
- recognize that reciprocity is important - i.e. giving to and getting from members
- recognize the importance of interpersonal relations

C. LEADERSHIP DEVELOPMENT

Initial collaboration leaders may be self-selected, but after the effort is underway, processes for open leadership succession, selection and cultivation of new leaders can strengthen coalition longevity. Methods for developing new leaders include:

- providing opportunities to practice new skills and tasks
- providing training to strengthen leadership skills
- mentoring
- pairing established and new leaders to perform specific tasks such as running meetings, giving speeches, delegating and following up on tasks
- co-chairing committees or task groups
- developing clear job descriptions and evaluations for different leadership positions, so that participants know what is expected and have some measure of their effectiveness
- providing emerging leaders with group or individual feedback and constructive criticism
- structuring second line leadership roles with opportunities for growth - e.g. moving from committee co-chairpersons to become board members or officers
- rotating leadership positions on a regular basis, to ensure that new talent has a chance to emerge

D. COLLECTIVE LEADERSHIP

Although strong leadership is indispensable, collaborations also depend upon the active and informed participation of each member, as a representative of their profession, program, constituency or agency. Members are expected to play an active role in performing their particular task and helping to establish and sustain the collaboration mechanism. Facilitative leadership can enhance the participation of each member by identifying and utilizing everyone's skills and contributions and holding members accountable.

All group participants should have the capacity to monitor the group process and contribute to resolving process-based obstacles to effective collaboration. They should support each other in taking risks and confronting controversial issues. Collaboration members need to value diverse contributions and perspectives, commit to working together, and struggle with inevitable tensions.

PHASE IV: TERMINATION
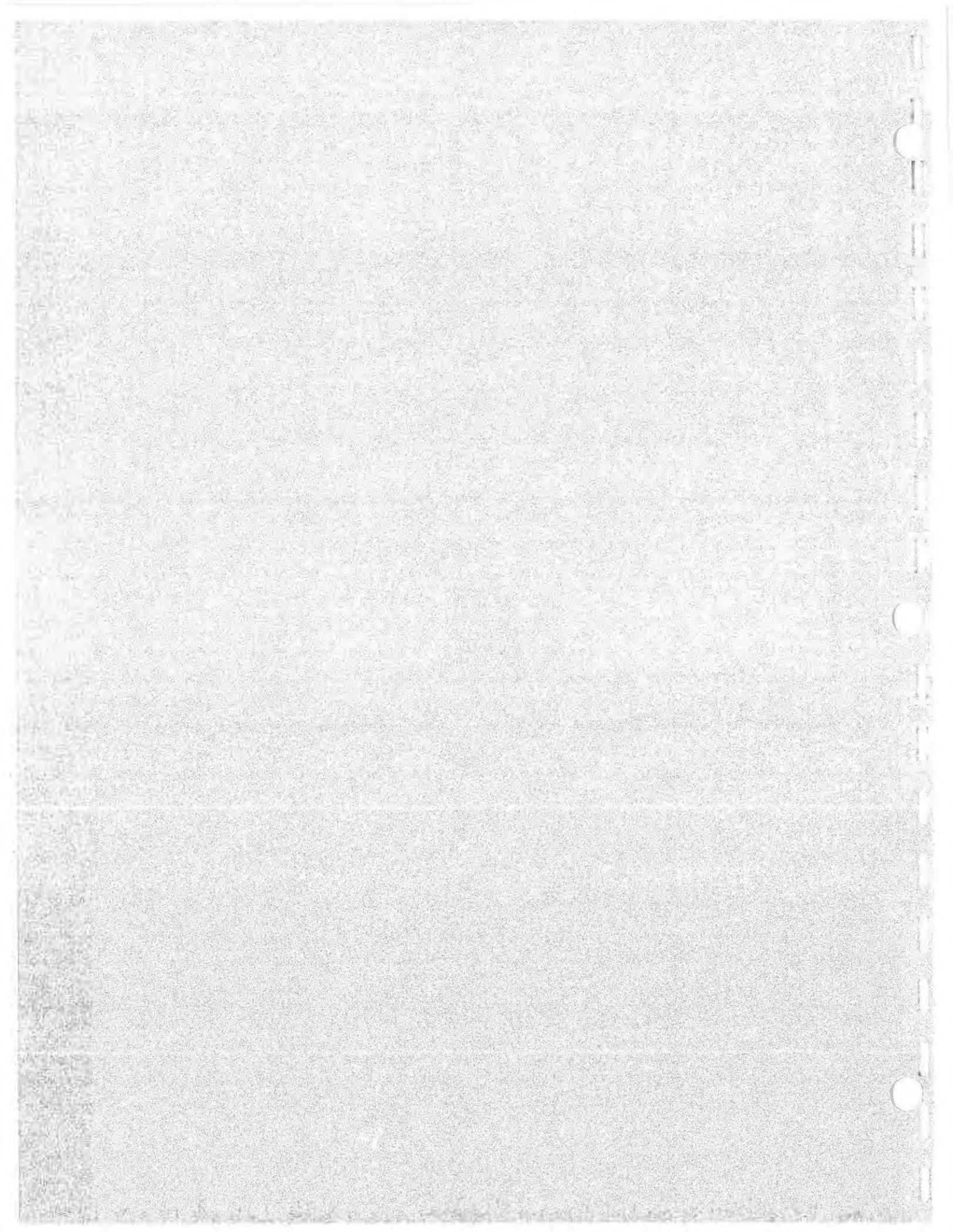
PHASE IV :   TERMINATION OR TRANSFORMATION:
Ending a Collaboration or Coalition

OVERVIEW

Termination is defined as the point when the collaboration/coalition ends its active organizational life. Since coalitions are dynamic and fluid entities, the point of transition from the Maintenance Phase to the Termination Phase is not always clear-cut. Sometimes a decision is formally made to end; if funded, the project ends when the grant runs out or the products are delivered. More often, termination occurs by default over time -- the momentum slows, commitment wanes, contributions cease.

It is time for a collaboration to end when:

- it has accomplished what it set out to do

- the grant or contract supporting the collaboration has reached an end

- participation wanes and meetings lack a purpose and sense of direction

- the collaboration failed to achieve its goals, and the members do not want to stay together to try something else

- resources are diminishing and maintaining the effort is consuming too much energy for too few results.

If these signs are evident, collaboration leaders need to be cognizant of the following:

- understand that some realignments in the collaboration are inevitable over time

- evaluate the nature and consequences of the changes occurring

- recognize that a transition is taking place and that the collaboration may be moving into a new form

- do not equate termination with failure, or longevity with success -- don't try to continue when it is time to quit

- recognize that termination may mean that present work is concluded or the collaboration has gone about as far as it can go.

A. REASONS TO TERMINATE

Termination may occur for several reasons:

- the collaboration has achieved one or more of its goals
- it has failed to achieve its goals
- it has been transformed into another interorganizational entity (e.g. a federation, council, new merged agency)
- it loses credibility or fails to gain legitimation.

TERMINATION BECAUSE OF SUCCESS

Collaboration success is usually defined as 1) achieving goals; 2) attaining longevity; 3) gaining recognition and legitimacy, and 4) meeting the needs of members. *Please refer to Chapter 14: Collaboration Success for more details.*

Collaborations frequently terminate because they have succeeded in what they were formed to do.

TERMINATION BECAUSE OF FAILURE

Failure is usually defined in relation to success. Where success is defined as achieving goals, failure is defined as the inability to achieve goals, or to implement plans. Where success is achieving recognition, failure is *not* achieving recognition or legitimacy.. Where success is longevity, failure is an inability to sustain the effort. Where success is meeting the needs of members, failure is *not* meeting those needs. Therefore it is important for the collaboration to develop measures of success and periodically assess its accomplishments and strengths as well as weaknesses, to ensure that they are on target. *Please refer to Chapter 15: Collaboration Failure for more details.*

B. TRANSITION AND TRANSFORMATION

A collaboration may decide to go into a dormant period, agreeing to suspend meetings. If so, this transition should be marked by holding a celebratory event, and exchanging mailing lists to keep the members in contact with each other. Groups that terminate by agreement have a better chance to maintain relationships and resurrect networks when a critical issue is identified or "the right time" arrives.

If the decision is made to continue, possibly in another form, it is helpful to do certain things to sustain the collaborative effort:

- **review** past structure, process, membership, and issues in order to clarify what will be replicated or changed in the new or revised effort.

- **redefine** success, goals, and strategies, establishing realistic expectations. Suggestion: Hold a "visioning" session or retreat for the collaboration leadership or membership to regroup and plan for the future.

- **replenish or revise** membership and resources that will be needed for the continued effort.

- **revamp** operating and membership structure so that they are appropriate for future or current plans.

CHAPTER 4: DEVELOPMENTAL PHASES

Chapter 4 outlined four phases that mark coalition/ collaboration development: Phase I: Formation; Phase II: Implementation; Phase III: Maintenance; and Phase IV: Termination. Select (√) the developmental phase which is appropriate for each task in the following examples:

TASKS	DEVELOPMENTAL PHASES			
	FORMATION	IMPLEMENTATION	MAINTENANCE	TERMINATION
Develop and implement an outreach strategy.				
Develop an action plan covering tasks, assignments and deadlines.				
Develop committees or other structure to implement strategies.				
Agree to disband or become another permanent organization.				
Involve client and constituent groups in the coalition's work.				
Gather consensus on the mission of the coalition and draft a Statement of Purpose, agreed upon by the membership.				

(Continued on next page)

TASKS	FORMATION	IMPLEMENTATION	MAINTENANCE	TERMINATION
Verify the autonomy of representatives to make decisions or take action on behalf of their organization.				
Determine how competition or turf issues will be handled.				
Evaluate and revise organizational structure				
Assess what skills or resources will be needed to accomplish goals.				
Determine the external target, if any, of the coalition's work.				
Hire staff.				
Identify strategies for addressing the community's needs.				
Develop standards of performance and achievement.				
Replenish and /or expand membership.				
Develop leadership.				

| CHAPTERS 5 - 7:   PHASE I: FORMATION |

SOCIAL CONDITIONS IN OUR NEIGHBORHOOD

Here is a description of the social conditions in an imaginary community. Please use this example in order to answer the review questions related to Chapter 5: Membership Recruitment,   Chapter 6: Goals, Strategies and Actions, and Chapter 7: Structure, which appear below.

The City Planning Department has just released new data about our community. The profile of the neighborhood includes the following:

- Our population is growing, and over 40% of the population is under age 21. About 15% of the population is aging, and many are over 80 years old.

- Many people in our neighborhood do not speak English well. They speak Spanish, Chinese, and Creole.

- We have one of the largest numbers of single-parent families in the City. The majority of them are reliant upon public assistance.

- The incidence of teen pregnancy is increasing and there are concomitant problems of low birth weight babies.

- There are many large apartment complexes in our area. Most are privately-owned and in disrepair. An increasing number of old buildings are being abandoned by their owners.

- Some tenant and block associations exist, and most need more participation.

- Local elected officials are trying to attract City and State funds for housing rehabilitation.

- There is a visible presence of drug dealers.

- There is a new police patrol program operating in our precinct.

- There is high unemployment, but many families receive income from small businesses they operate out of their homes .

- Local merchants are concerned about diminishing business. Their merchants' association doesn't know how to help them.

- We have a large park, although due to budget cuts, it is not well maintained, and is becoming a site of more and more criminal activity.

- There are many voluntary groups and social service agencies.

- There is a community college nearby.

- Our health care facilities are limited and have had to cut services in their specialty clinics and primary care unit.

MEMBERSHIP RECRUITMENT:

Image that you are going to start a new coalition to deal with the social conditions in our community that are described above.

Decide:

- Which organizations would you want to join?

- Why do you want them? What could they bring to the effort?

- What would be in it for them? (Buy-in)

- What conflicts might come up between them and any of the other groups participating?

Please fill out the forms on pages 104-105 called "Membership Recruitment Strategy."

GOAL-SETTING:

Given what you know about the problems and assets of this community, what should be the goals of this coalition?

Goal-setting processes: In selecting goals, there are various approaches. Try selecting goals by using the Nominal Group Technique, Consensus Decision-Making, and Voting. See what different answers your group arrives at, and how the decision-making process affects the goals.

Types of Goals: : Determine what type of goals this coalition will have:

       ❑ defensive or proactive   ❑ recognition

       ❑ social change   ❑ service coordination

       ❑ organizational development   ❑ conflict resolution

       ❑ resource enhancement   ❑ planning

STRATEGIES:

What strategies should this coalition utilize in order to meet its goals?

       ❑ Consensus (please specify)

       ❑ Conflict (please specify)

ACTIONS:

Which actions will this coalition implement? Be sure that they are consistent with the goals and strategies.

STRUCTURE:

After you have recruited members and determined goals, strategies and actions, design a structure for this coalition that will help to develop the internal workings of the coalition, as well as begin to work on the goals that you have established

MEMBERSHIP RECRUITMENT STRATEGY

Please utilize this sheet as a tool for membership recruitment for your own coalition, and for the imaginary coalition that you create based upon the Social Conditions in Our Community and the review questions on the previous pages.

ORGANIZATIONS/ GROUPS	RESOURCES/ TALENTS What will they contribute?	BUY-IN What will they gain?	CONFLICTS Delicate Issues?
❑ Advocacy Organizations			
❑ Business Community			
❑ Civic Organizations			
❑ Client/Consumer Groups			
❑ Criminal Justice Agencies			
❑ Cultural Institutions			
❑ Economic Development Groups			
❑ Educational Institutions			
❑ Elected Officials/Legislators			
❑ Environmental Organizations			
❑ Financial Institutions			
❑ Governmental Agencies			
❑ Health Care Providers			
❑ Housing/Community Development Groups			

ORGANIZATIONS/ GROUPS	RESOURCES/ TALENTS What will they contribute?	BUY-IN What will they gain?	CONFLICTS Delicate issues?
❑ Labor Unions ❑ Neighborhood Associations ❑ Media ❑ Parents' Organizations ❑ Policy Developers ❑ Religious Organizations ❑ Social Service Organizations ❑ Senior Citizen Organizations ❑ Students and Youth Groups ❑ Tenant Organizations ❑ Women's Organizations ❑ OTHER:_____ _____ _____ _____			

CHAPTER 7: STRUCTURE AND PROCESS

DECISION-MAKING QUIZ

If you are in a collaboration or coalition, please answer the following questions about your own decision-making process.

1. Your organization is part of a funded collaboration effort. Your organization's Board of Directors wants to change your collaboration work scope for next year. Are you allowed to amend your work scope? Who makes this decision, and how is it finalized?

2. You are launching a new program that would be run by the staff paid by your collaboration contract. Who would need to approve this? Which levels of the collaboration would need to be involved in this decision?

3. You are concerned that one of your peers, another subcontractor, is not delivering the activity that they are being funded for. This may jeopardize your entire collaboration's credibility. Who would you go to, and what could be done about this?

4. You are worried about a possible conflict of interest because the Chairperson of your collaboration gets to vote on the allocation of funding within the community, and this Chairperson also wants to receive some of this funding for her own agency. Who should resolve this issue? What level of decision-making should be invoked?

5. You want to spend your portion of the collaboration funding in a different way than the one that was budgeted. Who can approve or deny this request?

6. You are not pleased with the structure or process of this collaboration. What recourse do you have? Who is responsible for creating or amending it?

CHAPTER 8: STAFF

Consider how you would handle the staff issues presented in the examples below.

1. Jose was hired as the program manager for agency X's part of a youth program collaborative involving five agencies. Agency X, his employer, decided that they need him to fill in for another department, as a housing organizer for the next three months. Since they have the funding for his salary, they do not see a problem with this. Do you? If so, how can the collaboration intervene?

2. The ABC coalition has been losing momentum. Meetings are poorly attended. The Chairperson does not come prepared, or provide direction. There is a paid Coordinator. What do you think this Coordinator should do to help revitalize the collaboration?

3. Coalition committee members have complained to staff that their committee chairpersons do not communicate with them. Members do not know when committee meetings will be held, or have any input into the agendas for those meetings. When work has been assigned, they do not know if it has been carried out. What should the staff do to help the members or the committee chairpersons in this situation?

4. Your coalition is working on a statewide advocacy campaign. You have member organizations in eight different areas across the state. You hold quarterly meetings to develop strategies and coordinate the division of labor among your members. Two student interns who are studying political science were assigned to work with your coalition. What tasks might they handle? How will they be supervised?

CHAPTER 9:
PHASE II: IMPLEMENTATION AND PHASE III: MAINTENANCE

SAVE OUR YOUTH (S.O.Y.) COLLABORATION EXERCISE
Facilitator's Notes

Over time, coalitions and collaborations may expand. Bringing in new participants usually requires a change in operating procedures or decision-making structure. The following problem-solving exercise enacts the dynamics between three factions in a one-year old coalition -- the S.O.Y. COLLABORATION. It calls for the group to reflect on its operating process, and possibly change it to respond to emerging needs.

In order to use this exercise, you will need to form three small groups - one larger than the other two:

(1) the mainstream / established group [this one is the largest] ,

(2) the dissidents, and

(3) the newcomers.

Give each group the General Information and the page with its specific role described (see pages below). Allow at least 20 minutes for the three groups to meet separately to review their own roles and select a representative to convey their concerns in the full SOY collaboration.

After the 20 minute small group session, get everyone back together in a full group, and ask each of the three factions to have their representative speak directly to each other and answer the questions written on their respective role sheets. Use the attached forms for recording their solutions - ideally reproduced on flipcharts so that everyone can see them.

(give this to all three groups)

SAVE OUR YOUTH (S.O.Y.) COLLABORATION ROLES

GENERAL INFORMATION:

The Steering Committee consists of the Executive Directors of 12 organizations who were the founding members of the SOY collaboration and who receive funding through the Collaboration's grant.   The   Steering Committee has been meeting regularly with no changes in membership, for the past year. They make decisions by consensus, which is defined loosely.

Meetings are open to all Collaboration members, although only the 12 members of the Steering Committee make decisions. Much has been accomplished by this stable group over the last year.

Eight of the Steering Committee members like the way things are going now, and are resistant to change. This group will be called the **MAINSTREAM STEERING COMMITTEE.**

Recently, four members of the Steering Committee have formed a caucus to express their dissatisfaction with the SOY Collaboration's direction and procedures. This group will be called the **DISSENTERS.**

Also, a group of Supervisors and Program Directors from an additional 25 agencies working in the SOY Collaboration network have begun to attend Steering Committee meetings and have expressed a desire to get more involved in the direction of the Collaboration. This group will be called the **NEWCOMERS.**

QUESTIONS FOR SMALL GROUP DISCUSSION

1. What are the problems we have with the other two factions in the Collaboration?   (each group should review and elaborate on their prepared "roles" sheet)

2. What can we, as one of these factions, do to improve the situation?

3. What would we like each of the other 2 groups to do to improve the situation?

4. How, if at all, should the SOY Collaboration change its process, goals, or activities?

(Give this to the people in the largest working group, who will assume the role of the Mainstream Steering Committee members.)

MAINSTREAM STEERING COMMITTEE MEMBER - S.O.Y. Collaboration

You are an Executive Director of an agency serving youth and families, and your agency receives funding from the SOY collaboration's grant. As one of the founding members and subcontractors of the collaboration, you are on its Steering Committee. You are among the 8 Steering Committee members who represent "the mainstream"– established, well funded organizations who have been the backbone of the neighborhood service structure.

The Steering Committee has been meeting regularly with no changes in membership, for the past year. Meetings are open to all collaboration members, although only the 12 members of the steering committee make decisions., using a consensus decision-making process. Much has been accomplished and you like the way it works.

Your main concern about this Collaboration is that you don't want to give up control. You are satisfied with the Collaboration -- its accomplishments and its process for working together. You don't see any reason to change this.

What you think about the Newcomers:

1. You are not pleased that they are coming to Steering Committee meetings, because they cannot vote and they take up time .

2. While you recognize that these valuable members of the network are entitled to provide input, you don't think it should happen at the Steering Committee level.

3. You think that they are not doing their homework, because they ask naive questions.

4. You don't think it's your job to orient them.

What you think about the Dissenters:

1. You feel that they don't abide by consensus, after agreements are made. Often, you think a decision has been made, but the dissenters re-open it.

2. They seem to complain without offering alternatives.

3. They are distancing themselves from the rest of the Steering Committee.

4. They are beginning to participate less regularly.

5. They are disrupting the stability of the Steering Committee as a working group, and jeopardizing the Collaboration's current funding.

6. They are more concerned about their own agenda than they are about the total community's needs.

(Give this to the Newcomers Group)

NEWCOMERS - S.O.Y. Collaboration

You are a Supervisor or Program Director of one of the 25 agencies working in the SOY Collaboration network.   You are not from the same 12 agencies that founded this collaboration, although you may have a subcontract from one of them to do this work. Your job entails working with the network to make and take referrals, strengthen the skills of local service providers, and otherwise produce all the Collaboration's accomplishments. (see list on the Annual Report) . You are a hands-on person who works "in the trenches" and sees the community's realities and problems on a daily basis.

You are new to the mechanisms of how this Collaboration works and makes decisions.
You are concerned because you have no input into the Steering Committee or to decisions and policies of the Collaboration. This is particularly a problem for you, because you get stuck implementing all their plans and decisions.

You begin to attend the steering committee because you realize that's where the action is. You feel that your group should be part of decision-making because you know what's really happening, and you have to live with their decisions.

What you think about <u>the Steering Committee:</u>

1. They are top-heavy -- only Executive Directors -- and elitists.
2. They are not in touch with everyday problems of workers, consumers of service, and the broader community.
3. They seem exclusionary -- they have no structure to allow people like you to participate in decision-making.
4. They are rude, and don't answer your questions.
5. They can't even get along with each other, let alone run this Collaboration.
6. They get all the money from this grant, and only give a little to your agency.

What you think about <u>the Dissenters:</u>

1. They are out of touch with the "mainstream", and seem to be trouble-makers.
2. They act like they are the voice of the people, but you don't think that they really represent the grassroots community perspective.
3. Some of the things they say make sense -- but you think that they are too concerned with being Politically Correct.
4. If they were so concerned about justice, they would share the money they get from this grant with agencies like yours, who need more funding for the work you do.

(Give this to the Dissenters group.)

DISSENTERS - S.O.Y. Collaboration

You are an Executive Director of an agency serving youth and families, and your agency receives funding from the SOY collaboration's grant. As one of the founding members and subcontractors of the collaboration, you are on its Steering Committee. You are among the 4 Steering Committee members who represent the caucus that is trying to change the way the Collaboration works and the things that the Collaboration works on. You would like to see more alternative approaches, more attention to grassroots leadership. You think the interests of local youth will be best served by respecting differences in race, ethnicity, culture and class -- this would lead to a different allocation of the Collaboration's power and funding, giving more to newer and more representative organizations.

What you think about the Newcomers:

1. Many are professionals who work here, but are not from the neighborhood -- so their concerns are not completely legitimate.

2. If they had their way, they would steer the Collaboration's work to benefit service providers rather than residents/clients.

3. They are not very politically astute, and ask naive questions.

4. They are only after the funding, and want to provide services, not to empower the community.

What you think about the "mainstream" Steering Committee:

1. You think that they are too traditional, elitist and closed.

2. They are too rigid, and want to stick to the initial goals and plans of the Collaboration.

3. They are not visionary -- in fact, they are out of touch with reality.

4. They are not open to alternatives, they thwart creativity.

5. Their consensus decision-making process is not well defined, and used to their own advantage. When they like a decision, they say it's a consensus. When you don't go along with the consensus. they ignore your position, and act like everyone agreed.

6. They are each getting funds based on their outdated track record -- their agencies are not representative of the community today.

RECORDING FORM ----------------------------S.O.Y. COLLABORATION EXERCISE

Instructions: Reproduce these sheets on flip chart paper, with boxes large enough to be written in. *Use pens, crayons or markers of different colors. Assign a different color for each of the three groups, and only write the answers by that group in their own color. In this way you can keep track of who makes each suggestion.*

Mainstream = blue
Dissenters = red
Newcomers = green

PROBLEMS THAT WE HAVE WITH EACH OTHER

MAINSTREAM	DISSENTERS	NEWCOMERS

SOLUTIONS WE HAVE FOR EACH OTHER AND THINGS WE, OURSELVES, WOULD BE WILLING TO CHANGE OR TO DO

MAINSTREAM	DISSENTERS	NEWCOMERS	WHOLE COLLABORATION

CHAPTER 10: FUNDRAISING

REVIEW QUESTIONS

1. Name three ways for a collaboration to receive funding.

2. How can collaborations approach fundraising as a joint project for collaboration members?

   - Decisions about fundraising should be made by:
   - Who should have input into the proposal?

3. Name four strategies for fundraising as a coalition / collaboration.

4. How can coalitions / collaborations minimize internal conflict over fundraising?   *How would you handle the following situations?*

(A)   A neighborhood-wide collaboration agreed to pursue fundraising in an open manner. It established a hotline for information on grants available, and called open meetings to discuss likely funding opportunities. Proposals submitted in the name of the collaboration were approved by the collaboration leadership, and if funded, were accountable to the full collaboration.   Despite this process, it was discovered that a small contingent of participants negotiated their own deals with funding sources, by-passing the agreed-upon procedures. The funding sources, receiving competing proposals from members of the same collaboration, asked the collaboration leadership to decide how to handle the problem. What would you do?

(B) Three members of a collaboration rely upon funding from the Department of Youth Services. When their grants are up for renewal, they each want to get refunded. They think that there is a way to minimize competition and maximize their chances of getting the grant by joining efforts. How might this be accomplished?

(C)   A major funding source told a coalition of agencies dealing with domestic violence that it would prefer to fund the coalition than to support its individual members with separate grants. If you were the coalition's leadership, how would you handle this offer?

5. How can funders help to support collaboration functioning by the design of their grants and program reporting requirements?

CHAPTER 11: LEADERSHIP

REVIEW QUESTIONS

1. What is a facilitative leader and why is this a useful model for collaboration leadership?

2. Name three "task functions" that collaboration / coalition leaders are responsible for handling.

3. Name three "process functions" that collaboration / coalition leaders are responsible for handling.

4. Name four skills that effective collaboration leaders must acquire.

5. Why are collective leadership and membership responsibility key features of effective collaborations?

CHAPTER 12: TERMINATION OR TRANSFORMATION

REVIEW QUESTIONS

1. If a collaboration is a success, should it terminate? Why or why not?

2. If a collaboration fails to achieve its goals, is termination inevitable? Why or why not?

3. Distinguish between termination and transformation for a collaboration.

4. How can collaboration leaders manage the termination process?

SECTION III. COLLABORATION CHALLENGES AND ACHIEVEMENTS

Chapter 13. MANAGING DYNAMIC TENSIONS

This article describes five dynamic tensions faced by collaborations, and offers suggestions for managing each one. They are: A) Cooperation/Conflict; B) Mixed Loyalties; C) Autonomy/ Accountability; D) Means/ Model and E) Unity/ Diversity.

Chapter 14. COLLABORATION SUCCESS

Four definitions of collaboration success, with the factors associated with them, are outlined. This piece also describes eight areas in which successful collaborations may adapt to changes: 1) Goal and strategy reassessment, 2) resources, 3) structure, 4) participation benefits, 5) processes for collaboration, 6) getting the work done, 7) visibility and credibility, and 8) responding to changing conditions.

Chapter 15. COLLABORATION FAILURE

Definitions of collaboration failure as well as nine obstacles that often lead to failure, are presented

Chapter 16. COLLABORATION ASSESSMENT

This beginning guideline for evaluating collaboration progress and effectiveness includes five areas for exploration, as well as a list of materials to facilitate the evaluation process.
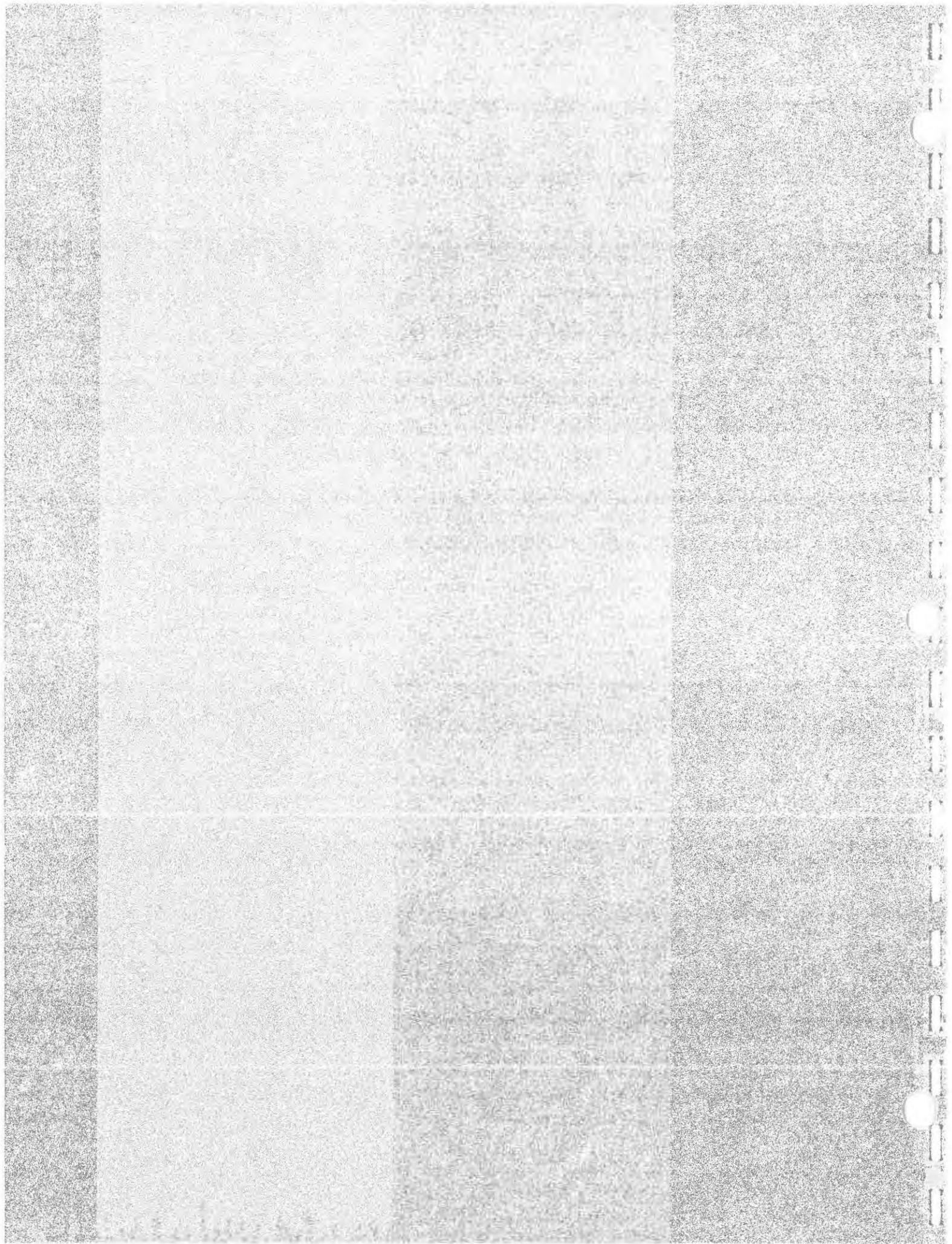
MANAGING DYNAMIC TENSIONS [1]

OVERVIEW

Coalitions, as complex organizations of organizations, inherently experience dynamic tensions. Five of these tensions and their management are described below.

A. THE COOPERATION-CONFLICT DYNAMIC

While shared goals and a willingness to work together are the foundation of coalition functioning, in fact coalitions are characterized by conflict as well as cooperation. Conflict inherently occurs on several levels: 1) between the coalition and the target they wish to influence, around strategies and issues such as credibility, legitimacy and power; 2) among the coalition participants around issues such as leadership, decision-making and personality/style; and 3) between the coalition and its member organizations around issues such as unshared goals, division of benefits, contributions, commitments, and representation.

Since conflict is an inevitable part of the coalition dynamic, coalition work should be approached as a conflict resolution model, where bargaining, trade-offs, negotiating, and compromise are part of all decisions, and agreements are reached by mutual consent.

B. MIXED LOYALTIES

Coalition members have a dual commitment--to the coalition and to their own organizations--producing a conflict between altruism and self-interest.

Coalitions that operate in the same service or issue areas as their member organizations may compete with members for resources, organizational time and energy. There may also be confusion over which "hat" coalition members are wearing while participating in coalition business. Once a coalition is formed, this "mixed loyalties" tension affects the degree of commitment and the contributions that members are willing to make to the coalition, as well as what the coalition can expect from them.

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[1] This chapter is adapted from a longer article by the authors: "Managing Dynamic Tensions in Social Change Coalitions" in T. Mizrahi and J. Morrison, (Eds.) Community Organization and Social Administration: Advances, Trends, and Emerging Principles. Haworth Press, 1993.

Organizations frequently join coalitions for some protection, because they cannot or do not want to be visible on a particular issue. On the other hand, participating in a coalition means assuming a collective risk, presumably for a greater good or benefit. Once coalition members begin working together, an organization's autonomy may be compromised. Organizations may decide not to join or remain in a coalition because they want to control their own agenda, or are focused on their own survival.

Coalitions can minimize losses and risks for member organizations by using the following approaches:

1. design collective efforts that do not threaten the turf or networks of the member organizations;

2. identify and treat carefully issues or positions that could compromise members' credibility and funding;

3. prevent direct competition between the member organizations and the coalition; and

4. agree on actions that organizations can do in the name of the coalition versus those that they do on their own.

C. AUTONOMY V. ACCOUNTABILITY

A coalition must have enough autonomy to take independent action, and enough accountability to several levels within the coalition and its member organizations to retain credibility and maintain the base which is its essence. Effective coalitions decide when they can assume or need to obtain sanction from the member organizations and their constituencies.

Coalitions can balance the autonomy/accountability tension by creating a variety of ongoing communication mechanisms between the coalition and its members and their organizations. They should also clarify:

1. how to integrate new members;

2. who the coalition represents; and

3. when and how different levels of participants will be involved in coalition decisions and actions.

D. MEANS V. MODEL

A coalition can be a means to accomplish a specific social change goal, as well as a particular model of sustained interorganizational coordination. Lack of clarity about whether the coalition is viewed primarily as a "means" or "model" can lead to differences in emphasis on process or product, degree of commitment, visions of success and failure, willingness to compromise, and time frame for accomplishment of coalition goal.

Coalitions primarily concerned about being a model emphasize:

1. a goal, structure and operating style that reinforces internal coalition development;

2. a commitment by member organizations to the coalition as an end in itself;

3. suspension of action toward the social change goal if necessary to build the coalition, itself.

Some coalitions approached as a model later transform themselves into permanent federations or organizations.

Coalitions primarily concerned about being a means to accomplish a specific goal:

1. provide "just enough" structure;

2. avoid time-consuming process issues;

3. promote involvement only to "produce results;"

4. either tolerate or find creative ways to work with differences.

The most effective coalitions strive for consistency in process and goal, and balance skill and leadership development with coalition efficiency.

E. UNITY AND DIVERSITY

Coalition members share compatible, but not identical, interests, and must both utilize diversity as a strength, and find ways to act in unison. Coalitions need enough unity to act together and enough diversity to accomplish their goal and to represent a broad base. Their functioning requires a certain degree of "syncretism"--an attempt to combine or reconcile differing beliefs in all salient areas. Coalition members must reach some amount of agreement regarding goals, strategies, domain, decision-making, and evaluation.

Many coalition leaders assume that unity demands uniformity and conformity. In fact, coalitions that are too unified resemble organizations, and fail to achieve the essence of the coalition--the inclusion of diversity. Moreover, excess unity can lead to competition among the groups for turf, access to resources or visibility, and can also limit the coalition's creativity. Coalitions suffer if all their members have the same perspective, expertise, and resources.

Conversely, many coalitions pursue diversity, either strategically or indiscriminately, with an open door membership policy. Numbers are not everything -- rather, it is the specific mix of diversity needed for a "winning coalition," that is essential. Because people assume that working together will be easy, they may overlook differences that may impede coalition functioning over time. Increasing a coalition's diversity will usually slow down progress toward external goals because it takes time to evolve trust, familiarity and comfort in working together. Coalitions can become a whole that is greater than the sum of its parts, but to realize this great potential requires making creative use of the different components.

The *unity/diversity tension* may manifest in eight different dimensions, as described below.

1. GOAL DIFFERENCES

Goal differences affect problem definition, identification of potential coalition members and choice of social change target, strategies and solutions.

Managing Goal Differences

Coalitions utilize the following approaches to resolve or minimize goal differences:

- Select a goal that is central to everyone's interests and is seen as something that can benefit both the diverse groups and the coalition as a whole.
- Define a goal relevant to the members' interests, but broader than any one group could address alone.
- Identify linkages between the issues.
- Create a superordinate goal that transcends differences among potential coalition members, and clarify how the participants' differences support the whole.

- Compromise on goals: Create goals where all participants can get a portion of what they really want, enough to sustain their involvement.

- Change goals over time.

- Show how short term goals relate to the long term, bigger picture.

2. IDEOLOGICAL DIFFERENCES

People with different political or religious ideologies approach coalition work with distinct belief systems and operating principles.

Managing Ideological Differences

Coalitions can use the following approaches to help member groups with different ideologies work together more effectively:

- Address a third issue unrelated to any member organization's domain.

- Take action only on issues on which there is total agreement and allow any group to have veto power.

- Limit joint action strictly to goals.

- Suspend judgment on areas of difference.

- Compromise on public position.

- Tone down the ideologically extreme position.

3. DIFFERENCES IN EXPECTED OUTCOME

Organizations may agree on a common goal, but outcome expectations may differ. This tension intensifies with a coalition's success, at which time decisions about pay-offs and rewards must be made.

Managing Outcome Expectation Differences

Coalitions can withstand divergence in the outcome expectations of their members by the following means:

- Expand or redefine the pie rather than consider possible outcomes in zero sum terms.

- Engage in issues which promise some tangible or intangible gains for each coalition member.

- Enable each member organization to maintain the ability to act autonomously on issues that are not directly related to coalition activity, and as long as they do not do so in the name of the coalition.

- Select coalition issues that do not conflict with members' individual agendas.

- Make explicit the trade-offs for everyone's involvement.

- Discuss the consequences of winning or losing when there appears to be a zero sum outcome.

4. DIFFERENCES IN AMOUNT AND LEVEL OF POWER

Coalitions have to deal with the consequences of actual and perceived power differences among members and potential participants.

Managing Power Differences

To minimize power differences, coalitions can find ways to have the powerful group provide resources without dominating. When it is desirable to keep the powerful group(s) inside the coalition, the following mechanisms can be established.

- a one group/one vote rule;

- voting/not voting membership;

- caucuses for smaller groups;

- an agenda that gives less influential members the advantage.

Coalitions which exclude powerful groups from full participation can continue to draw upon their resources and support by:

- making them affiliates or honorary members;

- forming parallel/support coalitions;

- providing technical/advisory status for the powerful group.

5. DIFFERENCES IN LEVEL AND INTENSITY OF COMMITMENT

Organizations join and continue participating in coalitions for a variety of pragmatic and/or ideological reasons. Pragmatic reasons include some degree of self-interest--a quest for resources, power or social contract; ideological

motivations mean some shared value-based commitment to a cause or a concept of the "greater good."

Managing Differences in Commitment

To maximize commitment to the coalition effort and encourage a greater variety of organizations to participate, coalitions can:

- Structure opportunities for multiple levels of commitment.
- Develop membership agreements that clarify what kind and level of commitment is desirable and how it should be demonstrated.
- Plan for fluctuations in commitment over time.
- Provide a variety of incentives to sustain participation, addressing the actual   motivations of members.
- Assure protection to members.

6. DIFFERENCES IN TYPE AND LEVEL OF CONTRIBUTIONS

Coalitions development requires the assessment of the amount and kinds of contributions needed, and the assignment of equivalent weights to the various contributions actually provided by members. As coalition endure, they identify whether they have the necessary contributions required both to achieve the social change goal and to maintain the coalition.

Managing Differences in Contributions and Rewards

Coalitions should clarify expectations about minimum contributions, how the ratio of contributions to rewards will be determined, and how differential contributions can be made to be equivalent.

- Balance contributions with rewards. There are several ways to do this:

  EQUITY: Organizations get out what they put in

  EQUALITY: Regardless of what organizations put in, they get the same rewards

  EQUIVALENCY: (Structured inequality) Some organizations get out more than they put in, while others get less.

- Determine minimum contributions according to a coalition's priorities.

7. DIFFERENCES IN COLOR, GENDER, SEXUAL PREFERENCE, NATIONALITY AND CLASS

Long-standing differences in experiences, priorities and problem definitions make it difficult to develop coalitions that cross color, gender, sexual preference, nationality, and class lines.

Managing Diversity in Color, Gender, Sexual Preference, Nationality and Class

Coalitions consciously pursuing diversity must factor in the time and effort to make it happen. Some useful approaches include the following:

- Include diverse groups at the coalition's inception, rather than later, which can minimize real or perceived tokenism, paternalism and inequality.

- Consciously give priority to increasing diversity.

- A majority group-initiated coalition can offer some incentives ("affirmative action") to recruit minority participants, and consciously operate in new ways to share control and build trust. True diversity requires an ongoing commitment of coalition resources to issues of importance to the minority group members.

- A minority group-initiated coalition can present its issues within a broad framework that integrates the majority perspectives, if their involvement and support is deemed necessary.

8. DIFFERENCES IN ORGANIZATIONAL AND PERSONAL STYLE

Organizations and individuals bring different styles of operating and interacting to their coalition work. Some style differences evolve from color, class, and gender, and some, such as personality differences, are purely idiosyncratic.

Managing Style Differences

Depending on their goal and the amount of time they have to act, coalitions can either accept or attempt to minimize style differences. If there is a sense of urgency about taking coalition action, differences may be tolerated. Over the long term, coalitions committed to a model of intergroup cooperation can seek ways to minimize the negative effect of style differences. To contain differences which could become destructive, spell out common rules for interaction:

- Create and discuss ground rules for meetings and coalition operations.

- Develop and enforce membership criteria.

- Structure equal time to speak.

- Conduct criticism/self-criticism of meetings which articulates and builds a common set of expectations, values and operating methods for coalition functioning. .

- Create a policy that allows for the exclusion of deviant or disruptive personalities or organizations, if necessary.

COLLABORATION SUCCESS

A. DEFINING SUCCESS[1]

There are many ways of defining success for a collaboration or coalition. Multiple factors are used by leaders and members to **assess** coalition effectiveness.   Most measures of success relate to four definitions: 1) Achieving Goals;   2) Attaining Longevity;   3) Gaining Recognition from social change targets, or a specific constituency or the public at large; and, 4) Meeting the Needs of Collaboration/Coalition Members.   A variety of factors have been found to contribute to coalition success.   If these factors are present, the coalition will be more likely to succeed.   Both the definitions and their related factors are listed below. [2]

DEFINITIONS	FACTORS CONTRIBUTING TO SUCCESS
1. Achieving Goals	
• Developed a project with tangible results	• Visionary mission that united the membership around a common purpose
• Integrated services, yielding improved access and more comprehensive services for clients	• Appropriate target and realistic goal
	• Goal was member-driven
• Accomplished a social change purpose	• Shared vision
	• Goal sustained commitment of participants
• Empowered a constituency	• Knowledgeable leadership
	• Informed membership / constituency
	• Achieved interim victories
	• Adequate resources -- funds, staff, connections -- to achieve goal
	• Leadership expertise on issues and political process

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[1] The information on Collaboration Success is consolidated from a combination of a literature review, suggestions from participants in our collaboration workshops, and findings from our original study of 40 social change coalitions.

[2] The factors may reflect a number of categories; to avoid duplication, they are grouped near the definition most frequently related to them.

2. Longevity

- Lasted a long time and weathered changes in goal, membership or external variables
- Created lasting networks that could be resurrected

- Membership remained committed to the work of the coalition
- Members remained committed to dealing with diversity of interests, ideology, experiences, culture
- Adequate resources to sustain participation and endure as a coalition
- Allowed for multiple levels of involvement
- Structured broad participation in decision-making
- Negotiated equivalent rewards for different types of contributions made to the coalition
- Leadership was skilled in coalition management and facilitation (e.g. balancing of dynamic tensions)
- Adapted to changes within and outside the collaboration over time
- Provided a mechanism for leadership development and succession
- Developed and used a mechanism for conflict resolution.

3. Gaining Recognition

- Gained community support and mobilization
- Gained legitimacy from target of change

- Developed a broad-based constituency
- Provided useful information to public or target
- Fairly represented a constituency / community
- Provided protection for members in assuming a shared stance on controversial issues
- Understood and cultivated collective power
- Connected well to power structure / target

4. Meeting the Needs of Collaboration/Coalition Members

- Members gained tangible rewards for their participation.

- Members became informed and involved on an issue

- Members gained new skills, competencies, connections and information

- Collaboration cultivated resources and benefits that were important for members (e.g. Technical Assistance, funding, publicity)

- Members had an opportunity for creative/innovative work

- Services provided by members were coordinated

- Division of labor was comfortable for members

B. ADAPTABILITY AND FLEXIBILITY

Because so many different elements interact to affect collaboration development, flexibility in approaching the work is essential. At each stage it is important to reassess past decisions, evaluate effectiveness and make adjustments if necessary. Collaboration change may be needed in any or all of the following eight areas: 1) Goal and strategy reassessment, 2) resources, 3) structure, 4) participation benefits, 5) processes for collaboration, 6) getting the work done, 7) visibility and credibility, and 8) adapting to changing conditions.

1. Goal and strategy re-assessment

More than anything else, commitment to the issue or goal appears to be the critical factor in sustaining involvement in a coalition. Therefore, a coalition needs to find ways to make the goal salient to its leadership and membership. If the coalition has not achieved its goal, it may want to assess the reasons.. It may be that the goal is:

- too vague
- too limited
- not directly relevant to the members
- not viable for the majority of members
- not consistent with coalition philosophy
- too difficult to attain, given the resources of the coalition

Should a goal change be necessary, the coalition may need to make other adjustments in membership, resources, outside support, or structure.

Sometimes the goal remains appropriate, but the strategies for reaching it need to change. Strategies need to be practical, attractive and effective. Some coalitions/collaborations excel at certain strategies, and renew them each year; others try new things according to changes in target, climate, membership skills or interests. If a strategy works, it may force the collaboration to take on a new project -- for example if a needs assessment is successfully conducted, its findings may point to new initiatives to be undertaken. In this way, changes in goals and strategies are interactive and need to be addressed as such.

2.   Resources, Including Membership

A variety of resources -- vision, membership commitment, power, funding -- are needed to sustain collaborations over time. With changes in external variables (such as political climate or funding opportunities), membership loss or decisions to approach new goals, it is necessary to take stock of the collaboration's resources and make relevant adjustments.   Also, decisions about what to do, how to respond to new opportunities, and what to include in future plans will be affected by the actual resources available.   Existing workload or strategies may need to be reduced if key resources are lost; new plans need to be realistic, given the resources likely to be obtained and sustained. Key resources include:

Membership: A collaboration needs to include all relevant participants - key opinion leaders and sectors, cultural diversity. The strength of any collaboration comes from its active membership and the base that they represent. Therefore, membership selection and cultivation needs to be strategic and ongoing. [3]

Funding - Although not a top priority, some amount of funding is needed for the collaboration to sustain the effort. Over time, collaborations need to budget for the costs of managing the collaboration, itself.   This includes paying staff and covering other costs for space, communication, meeting time, equipment such as modems and fax machines, and postage. As the collaboration or some subcomponent of it takes on new projects and brings in project- or performance-driven grants, the collaboration needs to find ways of managing and maintaining collective accountability for these new financial resources. Sometimes a finance

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[3] Also see Chapter 5: Membership Recruitment and Cultivation.

committee, accountable to the whole collaboration, needs to be developed.

In-kind contributions from members: Members should be encouraged to continue to contribute whatever they can to the collaboration -- such as expertise, contacts, meeting or office space, mailing lists, volunteers, organizing skills, access to significant constituencies. Understandably, these contributions will change over time, according to the current focus and resources of each member. In some cases, their contributions will be expected through a formal contracting process - which needs to be renegotiated periodically. In others, the leaders need to skillfully draw out and utilize whatever the members can be expected to share.

Leadership and membership skills: Both collaboration leaders and members need to acquire and share skills for their collective work. Such skills include organizing and delegating a fair division of labor, bargaining, collective decision-making, negotiating, conflict resolution and shared leadership. Over time, collaborations will require the use of such skills. People who have them must be given an opportunity to share them and to lead. People who want to learn them need to be given the opportunity to be trained or otherwise exposed to these techniques. The group may want to highlight and value those skills that help to advance collaborative functioning, providing training or shadowing as needed, in order to increase them.

Expertise: Regardless of the purpose or type of the collaboration, expertise is needed in order to get the job done. Political, social, and program knowledge is vital, as is information on the changing environment in which the group's work occurs. Knowledge of relevant trends - i.e. legislation, policy, community priorities, competition -- needs to be acquired and applied. Tasks such as needs assessments, joint programming or case management, advocacy and lobbying - all require specific expertise. When a collaboration decides to undertake a new venture, it should take steps to ensure that the required expertise is available.

Outside allies and supports: Collaborations function in a complex environment, where people outside the group can be a great help or a terrible hindrance. Over time, there is the need to identify key targets and allies who can be cultivated to support the work of the collaboration. New players in important positions should be approached and brought up to date on the collaboration's work and plans. Because their cooperation will probably require some sort of "trade-off", outsiders

should be asked for their own perspective and concerns.   Clear negotiations may be necessary.

3.   Structure

Collaboration structure needs to reflect shared leadership and power, multiple levels for participation, mechanisms for expansion to accommodate new members, tasks or components, and mechanisms for leadership succession or rotation.   Over time, there is a danger that a certain group of people may become entrenched as leaders or "do-ers" -- this is when the core group seems to take on a life of its own. This is dangerous because the structure needs to remain open and inclusive. Changes in structure are sure to be needed if :

- new players are involved
- new opportunities or challenges arise
- the collaboration matures and deepens
- new leaders emerge
- the collaboration takes on new activities or completes certain commitments

4.   Participation benefits

It is important to recognize that collaboration members will not continue to participate unless they feel that they are benefiting from their involvement. Generally, the most significant factor *decreasing* membership involvement/commitment is diversion of an organization's resources (time, funding, leadership, etc.). Therefore, collaborations need to offer alternative, comparable or compensatory resources to participants. Over the long run, the benefits of involvement must outweigh the costs.

Membership needs change over time. Initially, the intrigue of working with others or getting involved in a new project may be enough. Opportunities for socialization, sharing information and engaging in mutual support should be provided. Over time, if members are willing to make a longer-term commitment to the collaboration, more substantial or tangible benefits may need to be cultivated. As members get to know each other better and recognize each other's skills and assets, new opportunities for joint programming or fundraising, exchange of staff or skills, and countless other connections may be arise. The collaboration itself can encourage or structure these opportunities for mutual gain. Alternatively, the collaboration itself can provide things such as funding, training, publicity or cost discounts, that benefit all members by virtue of their involvement in the larger effort.

One constant need, often overlooked, is that all members -- new and established -- require recognition and respect. They need to be heard, valued, involved and rewarded. If you are not sure what your members expect to get out of your collaboration, ask them, and then problem-solve together to see how those needs can be met.

5.   Processes for Collaboration

In collaborations, attention to *PROCESS* is as important as attention to *PRODUCTS and OUTCOMES.* It is important to identify and try to evolve operating procedures that "level the playing field" and manage diversity. Because people and organizations are generally unaccustomed to sharing power and responsibilities, collaborations need to create new norms and cultures that provide a context for doing this work together. At different stages of development, collaborations may require processes for:

- shared decision-making
- fulfilling the responsibilities of representation
- inclusive communication and outreach
- conflict resolution
- bargaining and negotiating within the collaboration and between the collaboration and others
- orienting new members
- obtaining and valuing input of new and existing members
- collective responsibility
- mutual accountability

6. Doing the Work

Doing collaborative work requires different approaches than those used in single organizations. Much more can be accomplished if members and staff share responsibilities and fulfill new roles. The challenge is to :

- identify areas of individual and group responsibility
- arrive at a mutually acceptable division of labor
- find ways to maximize and integrate the diverse contributions of members
- help staff to act as coordinators and mediators, as well as directors and implementers
- develop systems for shared responsibility - including clear directions for task rotation, delegation and fulfillment of joint duties
- systematically involve volunteers in meaningful activities
- pace projects -- making realistic demands on members and staff
- take time to build skills and learn together

- sustain direction and focus amid changing external and internal conditions and priorities

7.   Visibility and Credibility

Coalitions engaged in social change work, or collaborations producing specific projects, both need to attain visibility with the public and credibility with participants, funders and supporters. These needs increase with time.

The group needs to achieve "name value" and recognition in the community Initially, when the group has no track record, efforts to build one and to document successes are vital. Later, when things have been accomplished, the challenge is to continue to build the reputation of the collaboration/coalition, while crediting its individual members and their organizations for whatever has been achieved. Concomitantly, members need to credit the coalition for its accomplishments rather than using it just to advance their own reputation. This is a particular risk if the group has a grant through a lead agency who could claim credit for the work of the larger body.

Over time, there is danger that decisions or plans may be made only by a privileged few, leaving out the broader base. This invites disaffection, discrediting, or competition from those who feel excluded from the process. Credibility in the collaboration/coalition will increase if the membership base is fully informed and approving of coalition work, and if the coalition/collaboration is accountable to its members. Growth entails finding new ways to keep the larger membership and community apprised and involved.

8. Responding to Changes in Conditions

External conditions are constantly changing, and demand that collaborations respond or adapt. Over time, collaborations need to be alert to and accommodate changes in :

- political or economic climate
- windows of opportunity for achieving collaboration goals or acquiring more resources
- relationships within the collaboration, and between the collaboration and outside targets or allies,
- the emergence of new issues or perspectives
- changes in the target people or agencies that the collaboration is attempting to influence -- they may be altered by personnel or political changes, gain or loss in power, or the impact of the collaboration's past relationship with them

- existence of opposing coalitions

C. CONCLUSION

There are a variety of things that collaborations have done to enhance their effectiveness and increase their success. As we learn more about working collaboratively, it is likely that certain intrinsic approaches or values can be said to ensure a positive impact. Collaboration leaders have identified numerous factors that they believe contributed to their own group's success -- these have been listed in this chapter, as well as described throughout this work book in other sections which offer prescriptions for collaboration development in different areas. The critical point is that collaboration entails interaction and constant change; the more skills we develop to manage this dynamic fluidity, the more equipped we will be for collaborative work.

COLLABORATION FAILURE

OVERVIEW[1]

While most collaborations and coalitions experience success, failure is also possible. Definitions of failure include the following:

- did not reach goal
- did not last as a coalition/collaboration
- did not get recognition from the target of change
- did not get recognition or support from the community/constituency
- lost credibility with membership of the coalition/collaboration
- did not grow or expand
- did not create lasting networks
- did not raise consciousness
- did not help members to gain any new skills or competencies

Both internal and external conditions may have a significant impact on coalition effectiveness.   Coalitions or collaborations that fail often do so because:

- conditions in the community or in the larger society are not conducive to their existence

- the relevant organizations are not committed to the goal or to sustaining the coalition itself

- they have not accumulated sufficient contributions - vision, resources or power -- to accomplish what they seek to do.

- they lack the competence to manage the complex set of strategies and relationships involved in sustaining a coalition effort.

Obstacles may cause a coalition's termination at any phase in its development. The pace of demise varies according to the original time frame set for the collaboration's work. At the *Formation* stage, failure may prevent the coalition from beginning at all, or indicate that it was not started with all the right elements in place to ensure its continuation.   Coalitions that fail at the

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[1] For related discussions, see also *Chapters 12: Termination and Transformation*, and *13: Managing Dynamic Tensions.*

Implementation phase may have misjudged what was needed to address the goals they selected, or failed to develop the internal processes to manage the actual work that was to begin. At the *Maintenance* Phase, failure may result from the loss of momentum toward goals, loss of commitment by members or loss of resources to sustain the effort. In the final phase, *Termination*, failure may occur because the work is no longer compelling or the participants are no longer as involved and there are no replacements available.

A. FACTORS ASSOCIATED WITH FAILURE

There are a number of known factors associated with coalition failure. The following list was developed from hearing about problems coalition leaders have experienced. Rather than view this as a recipe for disaster, it should be considered as an inventory of things that can be avoided or anticipated, of areas where skills need to be acquired, of aspects of the collaboration process that need careful attention.

1. GOALS

- lack of a common vision
- failure of planned projects
- formation of a collaboration only for reasons of self-interest, without consideration for the greater good
- collaboration is incompatible with the mission or values of the member groups
- formation of a collaboration without adequate purpose ("it seemed like a good idea")
- insufficient resources to meet goal
- agenda is not member-driven
- inadequate planning
- lack of progress or interim victories
- loss of commitment to the goal
- change in coalition or member organizations' priorities

2. RESOURCES

Funding:
- inadequate funding
- lack of a stable funding base and adequate resources
- no compensation for additional work entailed in coalition-building/planning/evaluation.

- irresolvable differences in benefits and pay among agencies that are supposed to share staff or responsibilities
- not enough funding built in for administration and management of the collaborative effort
- coalition competing with member organizations for the same funding source
- inadequate in-kind resources

Staffing And Leadership:
- inadequate staffing
- lack of strong central leadership
- inadequate leadership
- lack of experience in cooperative ventures
- lack of knowledge of relevant trends i.e. legislation, policy, community priorities, competition
- lack of organizational and management skills and/or vision
- burnt out or entrenched staff or leadership
- lack of leadership development or succession
- insufficient leadership accountability to the coalition's membership base

Membership:
- loss of membership interest and commitment
- lack of multi-culturalism
- tension over shared decision-making and allocation of resources
- inadequate incorporation of newcomers
- ineffective management of dissent and conflict among members

3. STRUCTURE

- structure that is too ad hoc and confusing
- overly bureaucratic or hierarchical structure
- confusion re: lines of authority and responsibility
- deficient communication
- lack of accountability to each other
- failure to clarify:
    - levels of membership and participation
    - peripheral members/user groups
    - organizational representatives
    - relative power of individual members
    - replacement of representatives

4. PARTICIPATION BENEFITS

- participants do not gain new skills or competencies
- people sign on to proposal without knowing how "the pie" will be divided
- false promises are made regarding outcomes
- little opportunity for creative and innovative work
- no opportunity for "fun" - socialization, bonding, expressive benefits

5. COLLABORATION PROCESSES

- decision-making is not equally shared
- failure to create a workable consensus
- no system or commitment to shared communication
- failure to attend to group process and feelings
- unequal involvement and recognition of members
- uneven power/control among members
- conflict is avoided or displaced, rather than aired and addressed
- insensitivity to unique qualities and needs of each member organization
- lack of trust -- people are not united, do not visualize the same outcomes

6. DIVISION OF LABOR

- lack of realistic expectations about the amount of time and energy required for organizing and maintaining the collaboration itself
- over extension or unrealistic demands on members
- loss of direction or focus
- lack of clarity about what the staff should do or to whom they are accountable
- too much control over staff by organization that donates them; staff may feel more accountable to the organization that pays them than they do to the coalition
- failure to accept the suggestions of newer members: e.g. Founding Member syndrome: "That's not what we had in mind when we started this"
- lead agency controls too much; responsibility and accountability are not shared
- "Do it my way" mentality does not yield to "Do it OUR way"
- coalition members are not involved in creating their own assignments, and may be unwilling or unable to perform activities
- certain tasks go undone because nobody wants to volunteer
- coalition members take on unrealistic assignments and cannot carry them out
- coalition is expected to accomplish certain tasks, but is not empowered to force the members to fulfill their respective responsibilities

- no clear division of labor - involving everyone in everything

7. COLLABORATION CREDIBILITY WITH MEMBERS

- representatives do not get recognition or support from their constituency
- loss of accountability to constituency/member organization
- member organizations feel compromised by the collaboration's work or image
- members may feel exploited - doing work without recognition or compensation
- lack of trust/mutual respect within the collaboration
- perception that staff represents only one agency or dominant faction
- recommendations from evaluations are disregarded
- funding source overly controls coalition activity through staff and resources
- lack of involvement of members in key decisions
- lead agency controls too much of the coalition's activities; contributions and input from other members is not cultivated
- leadership or lead agency does not report activities and progress to members, or involve them in program decisions
- betrayal or lying to membership; failure to do what was promised

8. ADAPTING TO CHANGES IN EXTERNAL CONDITIONS

- negative publicity
- competing coalitions emerge
- turf battles between members or between the collaboration and outsiders
- political and economic climate are or become unfavorable
- controversial strategies and tactics
- inappropriate targets
- inability to negotiate and compromise with target

9. ORGANIZATIONAL AND INTERPERSONAL RELATIONSHIPS

- negative experiences with past collaborative efforts
- difficult past or current relationships among possible member organizations
- destructive relationships within coalition are not checked
- competition and turf issues among potential members
- members sabotage work or strike their own deals with the targets of change
- personality conflicts between organizational representatives
- racial or cultural polarization
- differing community norms and values about cooperation
- competition among coalition members

- lack of mutual trust
- presence of conflicting loyalties, vested interests, or fear of domination by another agency

B. AVOIDING OR MINIMIZING FAILURE

While the presence of the above factors may lead to failure, they may also be minimized or avoided altogether if the potential trouble zones are anticipated. Collaboration development should be conscious and strategic from the beginning. Collaborations can avoid or minimize failure if they pay attention to the internal needs for collaboration growth, recruit participants and obtain adequate resources, maintain accountability to the broader membership base and community, and make steady progress toward external goals.

Working collaboratively is not the same as doing things alone, or organizing a single issue grassroots campaign. The rules and the process are different. Sharing ideas, hearing others, respecting the wishes of the group and using the collaboration to plan together are critical processes. Ideally, group-directed evaluations are used to identify areas for improvement.

If things seem to be failing, group discussion and problem-solving is needed, to see if they can be repaired. An outside mediator or technical assistance consultant can be helpful at this stage. The collaboration may also wish to establish a temporary working group to focus on problem-solving.

Often collaborations that fail at one thing can continue on in some other form. Relationships established in one collaboration can lead to the formation of new collaborative efforts. Failure need not be complete, nor devastating.

COLLABORATION ASSESSMENT

OVERVIEW

Evaluation of collaboration efforts is important to assess what has been accomplished, as well as serve as a guide to how to change the collaboration mid-course, should that be necessary. Sometimes collaborations are funded efforts that require evaluation in order to qualify for funding or refunding; or they are model projects that need to be measured in order to be replicated. Plans for the evaluation should be made early in the life of the collaboration. Considerations about the evaluation process include the following:

- What criteria will be used to evaluate the collaboration and its activities?

- Who will conduct the evaluation?

- At what points will it the evaluation take place?

- Who will be involved in evaluating the collaboration? (members, the community, funders, etc.)

- What processes should the evaluation utilize? (focus groups, surveys, interviews, participant observation)

- How will the collaboration use the evaluation information? Will evaluation findings be used to redirect collaboration work?

- Who should receive and review the evaluation findings?

A. PARAMETERS FOR EVALUATION

Ideally, parameters for evaluation will be created during the *FORMATION* stage of development, so that the collaboration can use them to guide its progress. During this initial phase, the collaboration members should decide on key elements for monitoring the collaboration, such as the following:

1. the work of the collaboration

- problems and needs to be addressed by the collaboration

- the specific goals and objectives for the collaboration

- the activities and steps to accomplish the goals and objectives

- the time period during which specific things are to be accomplished, or deliverables produced

- the process by which things are to operate and get done
- the assignments and roles that collaboration partners agree to assume
- an understanding of what will constitute success and what specific outcomes are to be achieved

2. the process of collaborating

- structure and operating procedures
- methods of communication and inclusion of members
- methods of accountability to the membership base and the larger community
- methods of resolving conflict
- methods of leadership and membership development
- methods of decision-making

3. collaboration development and image

- resources needed and plans to acquire them
- developmental milestones for each phase: formation, implementation, maintenance, termination
- efforts to keep the public informed about the collaboration
- identification of key targets or opinion leaders who need to recognize the collaboration

Once these decisions have been made by the collaboration, an evaluation team can be assembled, and the evaluation process and instruments created. In addition to examining 1) the work of the collaboration, 2) the process of collaborating, and 3) collaboration development and image, the evaluation may also want to examine:

4. the context for collaboration - initially and at later points

- economic and political conditions: initial, and any changes over time

- issues giving rise to the collaboration and their relevance later in the process
- community or constituency relationships
- power dynamics within the collaboration and between the collaboration and its targets

5. **the collaboration's impact on external goals**

- measures of impact on key problems or issues
- community awareness of collaboration impact
- effectiveness or appropriateness of specific tactics and strategies
- target's recognition of and responsiveness to collaboration effort

Some or all of the above parameters should be assessed continuously. However, at least annually, a formal evaluation is needed to provide useful feedback to the collaboration, indicate accomplishments, and areas for further improvement. It could be a time for celebration and reflection, taking both the credit and the blame.

B. MONITORING AND COMPLIANCE

Collaboration evaluation will be facilitated by ongoing data collection, documentation and record-keeping. These materials can serve to chronicle collaboration development, processes and strategies used, and participants involved. At a minimum, collaborations should keep track of the following items:

- operating procedures or by-laws (and their use / relevance)
- memoranda of understanding about key leadership roles and division of labor
- collaboration agreements or subcontracts for each participant, particularly if funded
- membership agreements that delineate tasks for members and expectations of the collaboration
- coalition database including a mailing list
- job descriptions and qualifications for staff and leadership

- chronological log of phone calls, faxes, mailings, and meetings

- evaluation materials including member surveys, content analysis of meetings, etc.

- minutes, agendas and sign-in sheets from each meeting, at each level, including issues discussed, decided, followed-up, or postponed, and next steps

- records of negotiating sessions with external targets, or meetings with outsiders regarding the collaboration's business - record of decisions and commitments made

- all correspondence to/ from the collaboration to members, funders, public, targets

- funding proposals and budgets

- publicity and media coverage of collaboration work

Building the collective history and memory of a collaboration requires ensuring that old and new participants have access to shared information. Records and data on the collaboration should be stored centrally, in a secure system maintained by staff and / or leaders. It should be easy to locate records on the collaboration should they be needed by members or funders. As a standard procedure, staff should provide collaboration leaders with activity and funding reports, as well as copies of relevant correspondence, evaluation materials, and certain key documents. Because collaborations operate on the basis of mutual accountability, the responsibility for maintaining accurate records and files is a critical task. Using written evaluations and reports can facilitate collaboration growth and the mutual respect of the membership.

Chapter 13: MANAGING DYNAMIC TENSIONS

PROBLEM-SOLVING EXERCISE

Instructions: For each scenario below, answer the questions written in bold print.

1. MEANS/MODEL

A new coalition decides to apply for funding for a specific project, only three months after their formation. Some of the coalition members feel that this focus on new programs and projects is premature, and detracts from building the coalition, itself. They are more concerned about developing a lasting coalition that can tackle many problems, and they want to spend more time developing the structure and processes for working together. Others feel that they need to take action or else they might lose momentum. *How would you balance the need for building the coalition with the desire to take on commitments and action?*

2. AUTONOMY/ ACCOUNTABILITY

Several of the members of a coalition decided to apply for a grant from the Big Bucks Government Agency without consulting their own boards of directors. Mr. Conn Trollit, a Board member of one of these agencies, got a call from the local banker, who had been asked for a letter of support for the proposal. It was in that way that Mr. Conn Trollit learned that his agency was one of the joint applicants. *The coalition had to apply within a short time.........but how might they have involved the leadership of their member organizations in the decision to apply and the commitments they were about to make?*

3. UNITY/DIVERSITY

There are several divisions within the membership of a coalition. One is between people who want to take action on youth employment, which is a big priority for the African American community. Others -- the white business members and block associations -- feel that neighborhood beautification and parks safety are top priorities. *This represents differences in goals, outcome interests, and underlying issues of identity and possible racism. How can the coalition manage these tensions?*

Factors	What can be an obstacle?	How can failure be averted?
Goals		
Resources		
Structure		
Participation Benefits		
Collaboration Processes		
Collaboration Credibility with Members		
Adapting To Changes In External Conditions		
Organizational & Inter-personal Relationships		

Chapter 16. COLLABORATION ASSESSMENT

REVIEW QUESTIONS

1. Why is it important to evaluate the progress and process of collaboration?

2. For each of the following parameters for assessing a collaboration, identify some of the specific issues that might be explored.

Parameters for Evaluation	Specific Issues to Explore
the work of the collaboration	
the process of collaborating	
collaboration development and image	
the context for collaboration	
the collaboration's impact on external goals	

3. Identify items that a collaboration might wish to collect in order to document and evaluate its development.

SECTION IV: APPLICATIONS OF COLLABORATION

This section highlights three common applications of collaboration: service integration, conflict resolution, and community planning.[1] It provides details on the nuts and bolts of using collaborations for each of these purposes, with many suggestions and ideas for practice.

Chapter 17: SERVICE INTEGRATION

An outline of operational structures, participant relationships, program design and methods for effective service integration.

Chapter 18: PROBLEM-SOLVING AND CONFLICT RESOLUTION

Tools for analyzing conflict and conflict behavior, approaches to dealing with conflict, and step by step instructions for a conflict resolution process, and a consensus problem solving process.

Chapter 19: COLLABORATIVE APPROACHES TO COMPREHENSIVE COMMUNITY PLANNING

An outline of the Community Consensus Planning Process, plus a sample of questions to guide community needs assessments.

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[1] A number of books and articles are now available about various applications of the coalition or collaboration form. *See Section V: Recommended Readings.*
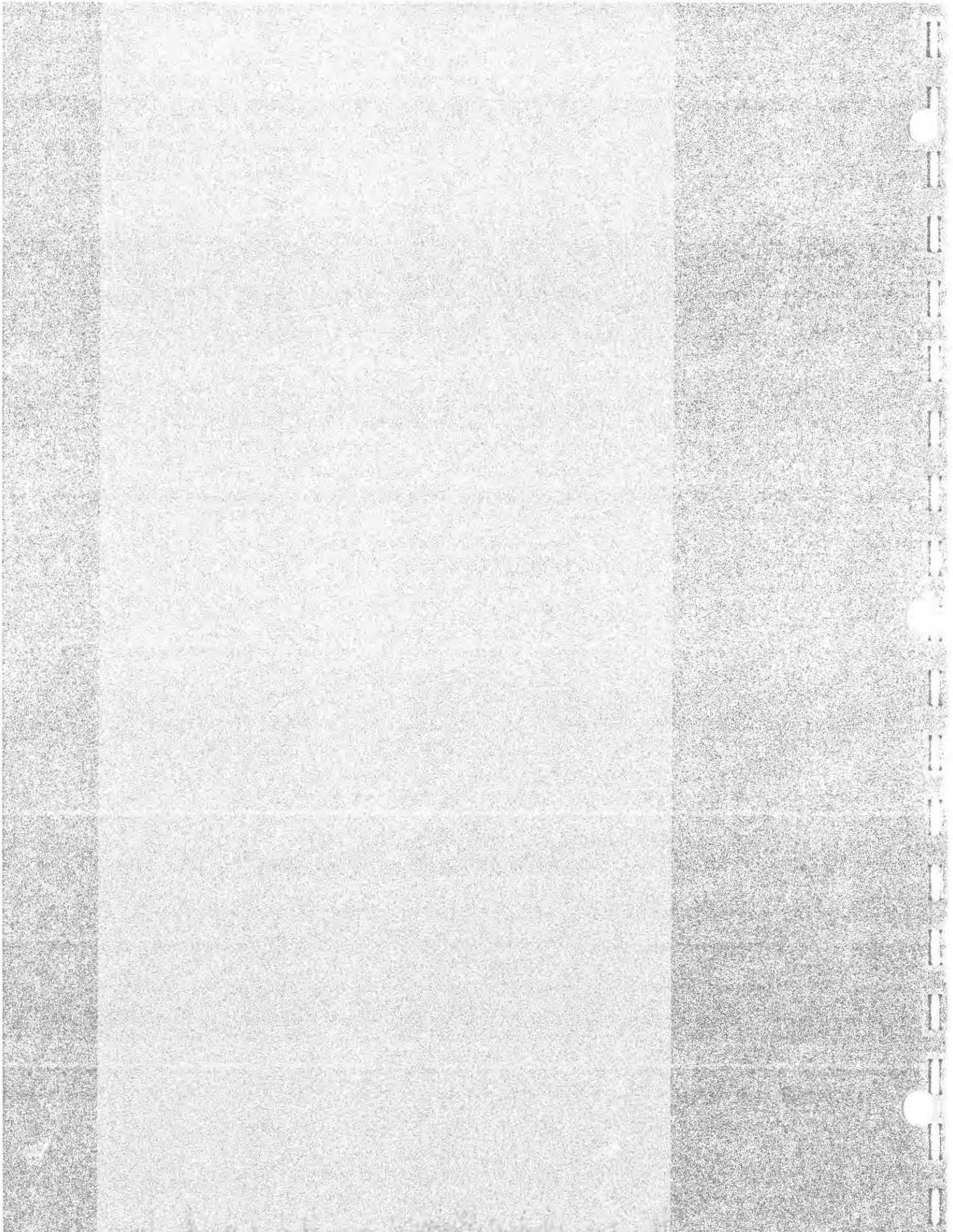
SERVICE INTEGRATION

OVERVIEW

Service integration is a type of collaboration which entails the linking or merger of several types of services into one system. The impetus for service integration may come from a desire or mandate to expand or diversify service capacity, to broaden client access, to provide more comprehensive approaches, to avoid duplication and fragmentation or to reduce costs. With the increasing complexity of most social problems and business markets, many organizations engage in service integration in order to remain competitive and relevant. The service integration effort may be interdepartmental, interdisciplinary, or interorganizational. It may occur at the administrative or service delivery level. It may range in degree of involvement from a single referral to a contractual agreement for ongoing coordination. This chapter outlines: a) different operational structures; b) program designs; c) levels and relationships, and d) methods and approaches for service integration efforts.

A. OPERATIONAL STRUCTURES

There are numerous possible structures for integrating services.[1] They include the following:

Voluntary Service Integration

- agencies contribute in-kind resources to a joint project, obtaining non-financial benefits from participating *(example: writing an article for another agency's newsletter -- although the author is not paid, the newsletter gets a broad distribution)*

- several agencies exchange personnel, knowledge, technology, resources or clientele *(example: a legal services expert on benefits runs a clinic in a senior center; the center members receive a free expert service and the legal office expands their caseload)*

- several agencies develop a new program together, with each agency operating independently, responsible for different tasks and accountable to the other partners *(example:*

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[1] These and other variations on structure are also described in Chapter 7: Structure and Process.

agencies with distinct areas of expertise develop a crisis intervention system that builds upon their existing operations)

- several agencies create and co-sponsor a joint program that operates on an independent basis. Loaned staff paid by separate agencies work on the common project and are accountable to the collaboration *(example: a daycare center, a school and a job training program collaborate on a new program for family literacy,   each reinforcing the work from their own base)*

- different departments within one large agency utilize a joint intake system

- different disciplines within a psychiatric hospital form a team to collaborate on family interventions, combining their respective expertise and approaches.

Funded Service Integration

- one agency purchases the services, staff, materials, facilities of another for its own use *(examples: one agency pays for translator services from another; or buys curricula for training series; or develops a satellite site in another organization's facility)*

- one agency gets a grant and pays another agency to handle administration, fiscal or program responsibilities *(example: one rural agency is funded to serve several counties covering a huge geographic area – they subcontract with agencies in other locations to do intake)*

- funder provides grant to a lead agency   which then subcontracts with other agencies for specific program pieces *(example: a school-based community center where space is allocated to different organizations, under the supervision and administration of one lead agency)*

- several organizations develop and receive funding for a joint project; they divide the funds equitably and implement the project collectively *(example: a youth program where one agency provides transportation and another provides a gym;*

both get funds to cover their part of the operation and are equal partners)

- several agencies purchase services or resources collectively, at lower individual cost , utilizing one contact or delivery point *(example: bulk purchase of office supplies, personnel benefits, food or fuel)*

- several agencies pool funds to hire staff or consultants who assist all of them *(example: several agencies share one volunteer coordinator or proposal writer)*

Regulated Service Integration

- regulatory agency establishes relationship between organizations providing linked services -- *(example: one agency provides staff training and another receives this training in order to deliver more effective services)*

B. PROGRAM DESIGN

Integrating services calls for innovations in program design. There are at least three different types of design: 1) centralized services or benefits which are shared by all the participants; 2) linked independent services which are connected by a coordination mechanism; and 3) joint participation in a coalition or collaboration with an independent base.

1. centralized services

- several agencies do joint outreach
- joint intake and diagnosis
- shared resources - e.g. staff or services
- centralized staff screening, employment and training
- case management and coordination
- shared data base
- shared client information/files
- joint program development

- centralized staff or volunteers that are centrally hired and trained and out-stationed at participating agencies
- shared space
- joint staff working on shared project or task
- joint staff development and training
- several agencies consolidate resources to hire shared staff for specific common purposes- e.g. proposal-writing, research, technical assistance
- outside source provides consortium with information such as planning data, that can be used by all

2. **linked independent services**

- many agencies are linked by a hotline that may refer to all of them
- several agencies provide complementary /different services to target population (e.g. youth programs of different types) and use referral mechanism
- several agencies provide different services to the same population or clients, and exchange information and ideas with each other
- several agencies provide the same services but to different populations (e.g. immigration programs serving different national /language groups) sometimes having the same guidelines and standards. By mandate or voluntarily, they may coordinate the type of work they do, developing joint approaches and procedures and helping each other to resolve common problems
- one agency provides same service in several other sites - out-stations staff in other agencies, or loans their curriculum or program to another agency.
- several groups share satellite space ---co-locate services, develop multi-service or one-stop service centers, while each handling their own administration and fundraising, and with each accountable to their own board

3. **joint participation in a mutually beneficial project with an independent basis**

- several agencies donate staff or specific different resources to a common project which cannot occur without everyone's contribution

- agencies design and run new services or programs that meet shared needs or provide new resources

- several agencies join together to do advocacy on a common issue to influence a policy or legislative or funding change that impacts all of them

- agencies participate under the rubric of a larger planning or coordinating structure which channels their work into a larger whole and provides some common benefit

C. SERVICE INTEGRATION LEVELS AND RELATIONSHIPS

Different factors in the participating organizations or departments, as well as their relationships, will affect their collaborative effort. Consider 1) the level at which the collaboration is taking place; 2) whether collaborators are working on the same or different goals, 3) whether collaborators are of equal stature, 4) what incentive and support they have for working together, 5) history of past collaborative efforts.

1. **Levels and purpose**   Determine how much of the agency is involved in the collaboration; how inclusive or limited is it?

- Agency and outsider: supplier, auspice, funder, regulator, competitor or consumer

- Boards of Directors (consolidation or merger)

- Executive Directors (policy/advocacy/planning; joint fundraising; creation of a new program/agency)

- One or several departments & outside agencies (comprehensive or co-located services)

- Program staff (service delivery)

2. Possible Relationships between Service Integration Participants

- equal partners with comparable or same responsibilities

- equivalent partners with differential responsibilities

- supplier/recipient (funder/grantee; state department/local subcontractor; training hospital/community health care site)

- regulatory agency(auspice)/ participant or member Agency (e.g. federation/member; health care administration/hospital; professional organization and local affiliate)

- consumer/provider (client/program)

- host site / tenant

- programs/organizations using shared space

- senior/junior - supervisory or training relationship

- research / practice

- evaluation team /program they are evaluating

- funder/ grantees

D. METHODS AND APPROACHES FOR SERVICE INTEGRATION

There are a number of approaches to integrating services. They can occur at the administrative level, or at the program level. Certain methods of coordination are applicable to all models.

1. Administrative and Fiscal Methods

- sign agreements or contracts that spell out what is expected, what is to be done by each party, and what schedule to use and what happens if terms are violated

- make funding contingent upon participation in joint programming or planning effort

- renew contract based on adherence to collaborative's performance standards

- involve participating staff in training about their joint system/program

- develop and use unified budgets

2. Program Methods

- joint intake forms - one or multiple points of intake for everyone
- use of shared data base including family profiles
- referral protocols
- follow-up protocols
- case management
- joint program monitoring and evaluation
- unified planning needs assessments
- uniform program eligibility and applications procedures
- co-located services

3. Coordinating Methods

- common resource directory
- services language / common set of terms
- structures and activities that activate and reinforce mutual accountability and reciprocity
- interagency staff meetings
- case conferences or task coordination meetings
- E mail or hotline - for rapid communication
- common newsletter
- telephone and fax " trees" where one person sends a message to several others, each one creating one branch of the communication mechanism
- ombudsperson - an outside person or agency that handles referrals and complaints about the work of the collaborative
- joint training of "boundary" personnel

CONCLUSION

Service integration can enhance many organizations. Once the decision has been made to work closely with another discipline, department or organization, collaboration dynamics come into play. Participants will

work together more harmoniously if they agree to respect each other's perspectives, priorities and expertise and to approach joint projects with a clear division of labor and understanding of desired outcomes. Joint endeavors also entail sharing credit and decision-making, and committing specific resources for implementation and coordination. If approached with these considerations in mind, service integration efforts can present creative programs and resources.

CONFLICT RESOLUTION AND PROBLEM-SOLVING [1]

OVERVIEW

Conflict is an inherent part of the collaboration experience. In some cases conflict resolution is an intentional purpose of the collaboration. Rather than suppress conflict, participants and leaders of collaborative efforts need to . welcome differences, and view conflict resolution and problem-solving as creative challenges. This chapter introduces how to recognize and address: a) conflict in collaborations, and b) styles of conflict behavior; and presents four ways of handling conflict: c) general approaches to dealing with conflict; d) short term interventions; e) the conflict resolution process; and f) the consensus problem-solving process. These approaches are effective when there is the will to find common ground and agreement, and they can be utilized by any member of a collaboration.

A. CONFLICT IN COLLABORATIONS

There are several ways in which collaboration entails conflict.

- **conflict as the impetus for collaboration:** Collaboration is often seen as a model for conflict resolution. In fact, many coalitions are organized in order to help people with different agendas to find a common solution to a shared problem. For example, environmental coalitions may evolve in order to solve disputes over water rights or land use. Or institutional change coalitions may tackle an entire industry, such as health care. In such instances, the coalition intentionally involves representatives of different perspectives and positions, and attempts to arrive at an agreement satisfactory to all.

- **internal conflict resulting from differences in members:** [2] Even when people form coalitions in order to cooperate and create something together, internal conflict is inevitable because participants bring diverse values, organizational styles, cultures, and outcome interests to the process. Or

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[1] This section is excerpted from a chapter written by Beth Rosenthal, in From the Ground Up: A Workbook on Coalition Building and Community Development, edited by Tom Wolff and Gillian Kaye, and published by AHEC Community Partners, (in press). It builds upon a range of work on conflict resolution by various authors, notably Avery et al (1981), Carpenter (1992), and Kindler (1992). See *Section V: Recommended Readings.*

[2] This type of conflict and approaches for its management is discussed in detail in *Chapter 13: Managing Dynamic Tensions.*

because members may have had problems with each other in the past, or lack trust. Even if groups have collaborated well before, working together is not an easy process, and competition over turf, funds, or visibility is likely to occur.

- **conflict arising from constantly changing conditions:** Conflict is also to be expected because coalitions are dynamic, constantly changing entities. They require renegotiation of agreements whenever new members are added, or external conditions or issues change.

- **conflict as power struggle:** Ideally, coalitions operate as models of shared power, with all participants involved as equals in decision-making and problem-solving. If the coalition includes a mixture of individuals, small grassroots groups, larger nonprofits, government agencies or institutions, differences in power among the participants is immediately apparent. These power differences become sources of conflict if groups with more power expect to have greater control or privileges, refuse to recognize the legitimacy of less powerful members, or resist efforts to equalize power. Perception of abuse of power is also a common problem. Inequities in power among members may pose operational problems, unless the members develop some form of equalizing power, or accept the legitimacy of different levels and types of power.

Rather than view conflict as something to be avoided, it is helpful to see that conflict provides an opportunity to examine issues, to learn more about underlying values and assumptions, and to create innovative solutions and programs.

Since conflict is an inevitable dynamic, conflict management is essential for coalition development. Bargaining, trade-offs, negotiating, compromise, and agreement are basic coalition-building strategies. Coalitions really function as mediating structures, balancing differences among their members, and striving, not for unanimity, but for a way in which their members can work together. They seek solutions which can satisfy all parties, and not those where one group benefits at another's expense.

There are certain guidelines to use in addressing conflict.

1. Preserve the dignity and self-respect of all stakeholders.
2. Listen with empathy.
3. Disagree with ideas, not with people. Don't accuse or blame. No personal attacks.

4. Always define the issue as shared. For example, say "We do not agree about the division of labor" and don't say "John refuses to do his share of the work."

5. Don't polarize the conflicting positions by posing conflict in terms of mutually exclusive positions. For example, say "We need to figure out how to reach the most people in the shortest time" not "Gloria wants to go door to door, and Jose thinks doing a mailing will be better."

6. Allow time to resolve conflicts. If discussion at a regular meeting does not seem sufficient to work out a conflict, set up a special, structured process for dealing with it.

B. STYLES OF CONFLICT BEHAVIOR

Coalition members may exhibit different types of behavior in conflict: people can approach the situation competitively, attempt to cooperate, while still acknowledging the existence of a conflict, or try to ignore the situation and maintain the status quo. It is helpful to identify your approach to conflict, and to try out other approaches that may be more effective for a given situation. In general, coalitions do best with "win/win" approaches, where everyone is satisfied with the process or solution, rather than "win/lose" approaches to conflict resolution.

WIN/LOSE strategies:

avoiding - Withdraw from the conflict situation or refuse to deal with it. This is most useful when it is best to leave well enough alone, to buy time and when damage caused by confrontation will outweigh benefits.

smoothing: Preserve relationships by emphasizing common interests or areas of agreement, and failing to confront areas of disagreement. Accentuate similarities and downplay differences -- this is a win/lose strategy because ultimately one side gives in without exploring all the issues.

accommodation: Let the other person try their solution. This is useful when the issue means more to the other person, when harmony is seen as more important, when you are open to a solution other than your own.

forcing/domination: Force compliance or resist. One side causes the other to acquiesce, gets what it wants at the other's expense. Common mechanisms are yelling, physical force, punishment, sarcasm.

WIN/WIN strategies:

non-resistance - Offer no resistance to the other party's views, blending your efforts with theirs.

coexistence - Jointly establish a basis for both parties to maintain their differences.

decision rule - Jointly set objective rules that determine how differences will be handled. This is win/win if everyone helped to set the original criteria and agreed to abide by it.

bargaining/ negotiating/ compromise: Each side obtains part of what it wants and gives up part. Jointly seek a means to split differences, set trade-offs, or take turns. This approach is used to achieve a temporary settlement, when time is of the essence, when you are working from mutually exclusive goals.

problem-solving/collaboration: Agree to cooperate and attempt to find a solution that will meet the needs of both sides. This approach is useful when concerns are too great to compromise, when solution affects long range trends, when decision will greatly affect all involved.

Creative use of conflict is possible when you are flexible in your approach. Effective coalitions change the style of conflict behavior according to the situation.

C. GENERAL APPROACHES TO DEALING WITH CONFLICT

Recognizing conflict is the first step toward addressing it. Conflict can occur on several levels within coalitions:

- *between the coalition and its members* over issues such as expectations and priorities
- *between the coalition members themselves* around turf, funds, or credit
- *between the coalition representatives and their own organizations* - around commitments, resource utilization, and authority.

Conflict can also occur <u>between</u> the coalition and:

- *targets of change*
- *funders / regulators*
- *competing coalitions*

Underlying Causes Of Conflicts: Regardless of which type of conflict a coalition is experiencing, if you are interested in resolving or managing it, it is helpful to explore its underlying cause. Most conflicts boil down to a few different underlying causes:

- past negative experiences among organizations
- self-interest or hidden agendas
- inaccurate or incomplete information, differential access to information, different perspectives of same information
- poor communication or misunderstandings
- power differences

Before getting bogged down in lots of other details, step back and see what can be done to address these root causes.   If the conflict is not being expressed directly, check to see if there is really a problem, and then bring it out into the open.

There are several **general strategies that can help resolve conflicts:**

- use gripe boards, special feedback meetings, or retreats to help people vent feelings, raise questions and clarify issues

- find areas of agreement and opportunities for cooperation and collaboration.

- focus on common ground and playing down differences.

- arrange opportunities for the organizations involved to talk about their differences, remove misunderstandings, exchange information, and build relationships

- help members to recognize the conflict and to express the reasoning behind conflicting opinions and alternatives

- decide in advance on criteria for decisions, and use this criteria as a basis for conflict resolution

- discuss acceptable and unacceptable aspects of each position or solution

- break down broader conflicts into manageable elements and obtain agreement incrementally

- work with facilitators or third party mediators who help create a safe environment, provide information, suggest processes for resolving conflicts, make sure each side is really listening to the other, or formally resolve issues themselves.

D. SHORT TERM INTERVENTIONS

Sometimes you can stop conflict before it escalates. The following techniques can be used to defuse explosive situations.

Create ground rules that spell out terms of discourse and guidelines for mutual respect. Use them.

Defuse arguments: When arguments break out in a group, any or all of the following approaches may be helpful:

- Don't ignore the disagreement. Instead, stop the one-to-one interchange, by rephrasing comments into general questions to the group.
- Ask other group members whether they want to continue the argument or move on.
- Restate the issue being discussed with the hope of clarifying it and taking the focus off the conflicting parties.
- Focus a question toward one of the involved parties, asking for clarification of the differences, or more specific reasons for a particular point of view.
- Ask each of the opponents to summarize the other's point of view. This can help them to see the other person's perspective.
- Ask the rest of group to comment on the exchange.

Forbid Attacks or Blaming.   Encourage everyone to express anger by describing their own feelings and the consequences of disturbing behavior, instead of blaming or attacking others. Make comments which are specific and nonjudgmental statements about the behavior, your feelings, and the consequences. For example, say --   "When you don't attend meetings, I feel angry because I have to do more than my share of the work." This is less threatening to the listener, and provides an opening to explore how they can improve the situation.

Take a Break. Sometimes silence or breathing space helps people to calm down and think of new approaches to the conflict.

Change Roles. Ask someone else to chair the meeting, or help to intervene. A fresh perspective opens up new options, and a new person chairing may produce a change in the behavior of the conflicting parties.

Organize a conflict resolution committee or grievance committee which is prepared to impartially help people resolve their differences through a specific process. As conflicts arise, they can be referred to this committee.

Hold Caucuses. Give the conflicting parties a chance to muster their troops, clarify their positions, and plan their strategy. When the caucuses rejoin the full group, the conflicting parties can intelligently and calmly engage in a dialogue with each other.

E. THE CONFLICT RESOLUTION PROCESS

When your collaboration reaches an impasse and cannot seem to find agreement, or when interpersonal problems impede ongoing collective work, it may be time for a conflict resolution process. Conflict resolution is a process of helping people to understand each other and arrive at a way to live with or remove their conflict. The process involves at least one facilitator, who helps the conflicting parties to share information and work together toward a solution. The process entails diagnosis, information-sharing, flexible use of a range of conflict behavior (such as bargaining or accommodation), and arriving at agreements which are documented and implemented by the people involved. The facilitator or team of conflict resolvers outlines the steps and moves the work ahead. The parties to the conflict need to agree to participate in this process, and abide by whatever solutions are reached.

Here is a step-by-step guide to the conflict resolution process:

1. DIAGNOSE:

Discover what must be accomplished for both parties to feel that their needs are being met. What do they want to get out of the situation? What is their bottom line?   Try to sort out the real disagreements from the perceptual disagreements. Be aware of time restrictions are affecting the conflict or its resolution.

a. **Clarify critical issues**: How does each party see the issue? What would it mean to win or lose?

- Define the problem and its cause.

- Gather facts and data that might have a bearing on the problem. Get all sides of the story.

- Organize the information and prioritize where possible.

b. **Identify stakeholders and their approaches to conflict**

- What are the characteristics of the parties in conflict -- their values, objectives, resources for resolving conflict, approaches to conflict?

- Explore their prior relationship to one another, and how this affects their current expectations or concerns.

- How legitimate are the two parties to each other?

- How open and accurate is communication between them?

c. **Assess likely sources of disagreement**

- Identify and focus on the most important, central issues to the conflict. What is the basic point of contention?

- Explore the group environment in which the conflict occurs - the interest others have in the conflict and its outcome. Does the situation promote or discourage conflict?

2. PLAN / STRATEGIZE:

a. **Put together your information** on the issues, stakeholders, context and consequences of this conflict. Weigh all the variables.

b.   Recognize the conflict behavior used by everyone involved. Decide what kind of conflict behavior is most appropriate. Choose your approach; blend different styles according to your diagnosis of the situation.

c. Practice: Rehearse how you will handle the conflict. Use two neutral friends or colleagues to practice different interventions / styles. One plays observer, one plays other party. See if your approach is effective.

3. IMPLEMENT THE PROCESS:

a. Set the tone.

- Use ground rules to set the tone for the conflict resolution session(s).

- Provide background information, and feedback from your analysis and observations.

b. Encourage dialogue.

- Actively invite different views.

- Deal with the silence of others. Explore what Is being expressed.

- Help the conflicting parties to air misunderstandings and problem solve.

c. Reach agreements.

- Use various conflict styles (such as bargaining) to break deadlocks and forge agreements.

- Don't impose a solution -- help a collective view to emerge from discussion.

- Keep testing ideas for group acceptance.

d. Document Agreements

- Close the conflict resolution session(s) by documenting the agreement. Write the agreement down, be specific about what should happen and the time that things should be done.

- Decide how results will be monitored.

4. EVALUATE OUTCOMES:

a. Evaluate the effectiveness of the chosen solution.

- Review the agreement and how it is being implemented. Applaud progress and provide support where difficulty is being encountered.

- If agreements are broken, try to find out why. Discuss broken agreements. Was it expecting too much? Was the agreement specific enough? Was the person really willing to change? Is the solution technically feasible? Does the solution have interpersonal or emotional side effects?

b. Follow-up

- If necessary, try another alternative and repeat the process.

- Implement corrective or adaptive action if the situation requires it.

F. THE CONSENSUS PROBLEM-SOLVING PROCESS

Consensus problem-solving is a cooperative way of approaching large scale conflicts or issues in which many people must be satisfied with the solution. It entails inclusive participation by all stakeholders, and it takes time -- usually several days.

At many junctures, coalitions need to solve problems or make decisions as a group, taking into account different perspectives and wishes. Situations that call for consensus problem-solving are those that affect the coalition as a whole, and require everyone's agreement -- for example:

- developing agreements between disputing parties who share a concern about issues but differ in their preferred solution
- long term planning decisions
- developing a more effective strategy for social change
- devising a better way to share the coalition's work
- creating a more appropriate structure or leadership role

These issues, if not resolved by consensus, can fester into unresolved conflict.

Conditions that should exist before problem-solving:

1. The issue or conflict must be perceived/presented as a shared problem. All parties should recognize their common interests and need for cooperation. There should be an understanding that everyone involved is part of the problem and there is no right or wrong perspective.

2. People should know something about the problem-solving process, with its consensus decision-making approach. Make sure they want to go through the process, and agree to abide by the decisions or solutions reached.

3. All participants should enter the process with equal power, information, and support. This process does not work if one party is a scapegoat, or someone holds all the power to influence the outcome.

4. Despite differences of opinion, there should be trust and good faith between the parties. Participants should agree to talk honestly about the problem and take the process seriously.

5. Develop the ground rules, agenda, and process that will be used.

6. Allow enough time to go through the whole process. Do some pre-meeting planning, or start the process by giving participants questions or tasks in advance.

A skillful leader / facilitator can create the above conditions and engage the group in the problem-solving process. There may be times when the conflict reflects an essential split in the group which may not be amenable to resolution. Utilizing the problem-solving process to clarify the situation and craft a response to it is preferable to letting disagreements escalate or fester.

THE PROCESS:

1. **Hold a series of sessions where all stakeholders can meet together.**

2. **Agree on what the issue or problem is.** Each person should state their needs in relation to the problem, and provide whatever they know about its history and context. Separate thinking about the problem from thinking about solutions. Analyze the problem in as much detail as possible.

3. **Brainstorm all possible solutions.** Don't judge the ideas. Generate as many ideas as possible.

4. Discuss the ideas, and try to combine them, where possible, to narrow the list. Participants should have an equal chance to voice an opinion before a decision is made. There are a few ways of holding this discussion:

- round robin - each person, in turn, says something about any idea. Each person has a set time to comment without interruption.

- pro/con - one person speaks for, and one person speaks against each idea.

- building unity - one person advocates for an idea. A second person responds to that idea, combining their own opinion and that of the previous speaker. Other people offer their input until ideas are clear and all angles considered. Periodically, a facilitator states the conclusion toward which the group appears to be moving.

5. Consolidate ideas and eliminate unacceptable solutions. Cluster similar ideas; take time to discuss the meaning and consequences of different suggestions.

6. Find the best acceptable solution - which one meets most of the needs identified in step one. Arrive at this decision through a consensus decision-making process.

If there seems to be general agreement, verify this by asking "do we all agree that ...? " Insist on a response and don't assume that silence means agreement.

If there is no agreement, ask those who disagree to state their objections. Then:

- continue the discussion
- propose a break or period of silence to think
- change the proposal so the objections are taken into account
- postpone the decision
- recess and ask people from opposing sides work together to come up with a compromise.
- take a straw vote to determine how much disagreement there is. If only a few people are blocking consensus, they can let the group override them.

7. Plan to put the solution into action. If a decision implies that an action be taken, clarify responsibilities and timetable to ensure that the

action is carried out. Hold the participants, themselves, responsible for implementing the solution.

8. Follow-up and evaluate solutions. Consider the solutions from the vantage point of the disputing parties, as well as other "insiders" and "outsiders" who are peripheral to the conflict but affected by it.

G. CONCLUSION

Conflict is an inevitable factor of coalition life. Through creative use of conflict, we can learn more about each other, and arrive at more innovative solutions to common problems.   The challenge is to embrace conflict, and expand our ability to manage it.

COLLABORATIVE APPROACHES TO COMPREHENSIVE COMMUNITY PLANNING

OVERVIEW

Collaborative planning approaches have been used increasingly by government and the not-for-profit sector. Urban and rural areas have been utilizing various participatory mechanisms, from old-fashioned to electronic town meetings, to determine local needs and strengthen community. People are reinventing government to involve local residents and build on existing resources, acknowledging that communities know best what they need and how new programs can work. This chapter outlines: a) the goals of comprehensive community planning, b) the community consensus planning process, and c) sample community assessment questions.

A. GOALS OF COMPREHENSIVE COMMUNITY PLANNING

Planning, itself, has many benefits.

- a coordinated system, and reduced duplication of effort

- a holistic view of people and services, rather than fragmentation

- collaboration and coordination, instead of competition between sectors and service providers

- an enhanced capacity for early intervention and prevention, instead of responses driven by crisis and remediation

- greater multi-cultural sensitivity and culturally competent models of service and government

- coordination of formal and non-traditional helping networks, rather than primary reliance upon professionals

- increased accessibility of information to clients, providers and care-givers

- greater ability to deal with emergent problems by harnessing a range of community resources

Planning can be even more effective when it involves community residents, leaders and institutions. Inclusive planning achieves the following goals:

- capacity building and community change

- strengthen community networks

- attain greater community control of community development -- the community sets the priorities, participates in the implementation, and monitors the progress made in carrying out the plans

- improve people's ability to solve their own problems - and not just rely upon services

- bring the public voice into local decision-making by government, schools, and other institutions

- develop mechanisms for the community to mobilize its existing resources and coordinate planning and advocacy to bring in new resources

- collaboratively solve problems regarding the major issues facing the community

- improve strategies for effective advocacy

- produce better decisions -- incorporating diverse views and interests

- expedite implementation because people have a sense of ownership

B. THE COMMUNITY CONSENSUS PLANNING PROCESS[1]

This is a suggested model for involving the community in the planning process. Although designed for geographic communities, it could also be adapted for use in communities defined according to population or issue.

1. CHARACTERISTICS

Consensus planning processes are used to bring together participants who reflect the community's diversity and represent all major interests, and engage them in a process that develops a shared vision and shared goals. This diverse group is involved in developing the process as well as in formulating solutions. Either they participate in a planning committee, or their opinions are sought out in interviews, surveys or focus groups.   The initiators of the process may be any organization or government agency from inside or outside the community, although their legitimacy will be strengthened by establishing links to a broad

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[1] This material is adapted from Susan Carpenter. (1992). Solving Community Problems by Consensus, The Program for Community Problem-Solving, Washington, D.C.

spectrum of reputable community leaders.   It is helpful to have staff or neutral facilitators to guide this process.

The community consensus process has certain **characteristics:**

- Participation is inclusive of the major interests / stakeholders in the community.

- People are kept informed, make decisions and agreements.

- A common definition of the problem is used.

- Participants educate each other about issues, perceptions and history.

- Multiple options are identified.

- Decisions are made by consensus.

- Participants are responsible for overseeing the implementation of solutions.

2. STEPS IN THE PROCESS

a. PLANNING TO PLAN

During this phase, the initiators help frame the problem, develop the general outline of a process, identify participants, and set up a program. This is the point at which they might enlist the services of a professional facilitator or mediator.

1. Frame the Problem

- Develop a clear description of *the problem* to be addressed. This will affect how the process is structured and who should participate.

- Identify the *main issues* that the community wants to address. Focus on the issues that are perceived to be important, issues that can mobilize people and improve community life -- for example, economic, social, physical development, or capacity building.

2. Design a Strategy

Decide:

- What format and structure would be most productive for the planning process? Committees? Task Forces? Research Teams? [2]

- What process steps would be useful? What is the timetable for the planning process? Steps might include: agreeing on procedures, gathering information and educating each other, generating options, assessing and agreeing on solutions

- What roles are necessary and who might fill them? For example, convenors, committee chairpersons, team leaders, researchers, writers, data processors?

- What resources (money, information and people) will be required to run the process and where might they be obtained?

3. Identify Participants[3]

- The planning process should strive to involve many people and sectors. Begin with an initiating committee   of 10-15 people representing different sectors/ ethnic groups / geographical areas. Involve as many representatives of internally located and controlled assets as possible in the discussion and decisions.

- Expand the stakeholder identification and analysis process, inviting people who have an interest or share in this planning effort and its outcomes. Community outreach for broader input should build on existing structures and   create activities to channel community involvement.

- Conclude this community outreach phase with a kick-off event such as a forum or town meeting, where the newly formed planning group can officially begin the process. An outcome of this event would be the identification of visions for the future, or key performance areas - e.g. education, health, housing -- that will be addressed.

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[2] See *Chapter 7: Structure and Process.*

[3] See *Chapter 5: Membership Recruitment and Cultivation.*

4. Establish a Planning Group and Process

- Determine logistical details such as when and where to hold meetings and how long meetings should last.

- Secure resources needed to run the process.

- Invite participants, set agendas and send them out.

- Clarify the goals of the planning process, and then set objectives and establish milestones to reach those goals. Identify the products to be delivered.

- Help the planning body to set up systems to keep an ongoing record of tangible accomplishments -- e.g. letters, meetings, reports, forums, proposals, plans.

- Design an approach to systematically involve and get input from all existing and incoming committee members. Once recruited, all participants need to have input into committee knowledge about the problems, definition of plans and goals, and division of labor. There should be a structured format for making sure that this input is obtained. Design the organizing approach that ensures equal participation and access to information.

b. IMPLEMENTING THE PLANNING PROCESS

There are four phases in implementing the planning process: establishing procedures, gathering information, generating options, and reaching agreements.

1. Establish Procedures

Planning participants need to:

- Reach agreements on a general process to be followed: accept a common definition of the problem or issue, agree on their collective goals or mission, determine what process steps the group will use to achieve its mission.

- Develop groundrules and operating procedures to guide their work together. These should set expectations for *procedures* such as how decisions will be made and who can participate; substance -- topics that will and will not be addressed; and *behavior* — how individuals are expected to interact with each other.

2. Gather Information

- Collect relevant data in order to document the problem[4].   Probe to discover the nature of the problem - how it is defined, its characteristics, who is affected, where it is located, etc. Identify and distribute to planning participants all relevant statistics and research on the problem. Ask them to contribute their own work from their own proposals and program reports, and personal experiences and observations. Seek out experts who can shed light on the problem. Bring speakers to meetings, or interview them in their own offices.

- Develop an action plan for gathering, writing up and sorting out the necessary data.

- Incorporate diverse opinions, gathered through outreach and research.

3. Generate Options

- Bring the full planning group together, and present them with the facts on needs and assets that have been gathered.

- Have the group generate possible solutions based on what they need.

- Develop multiple options with the understanding that there will be time to eliminate less desirable alternatives later in the process.

4. Reach Agreements

The outcome of the planning process is to reach agreement about local priorities and plans to be implemented. There are several ways to reach agreements:

- *building block approach:* assess and agree on solutions issue by issue.

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[4] See *Sample Community Assessment Questions* at end of this chapter.

- *comprehensive proposals*: blend desirable features of separate proposals into one acceptable plan.

- *single text*: circulate drafts that get revised and expanded until all participants can accept the agreement.

- *agreements in principle*: develop a framework for a plan that lays out general directions for action, but delegates to an implementation committee the task of working out the details.

  Regardless of which method is used to arrive at agreements on plans, the following sequence for prioritizing will be helpful:

- Determine criteria to be used to evaluate options. Proposals can be assessed in terms of their resource requirements, community support, organizations' willingness to assist with implementation, feasibility, degree of impact on a community, contribution to the health of the community, etc.

- Assess the options developed in the previous phases and seek agreements.

- Prepare recommendations that get presented to a person or body who makes and implements a final decisions - or participants come up with agreements that can be implemented directly.   The final product may be a report, a series of recommendations or a signed agreement.

c. IMPLEMENTING SOLUTIONS

1. Establish a group to oversee implementation

- The Comprehensive Community Planning Process should conclude with the establishment of a representative collaboration to oversee the implementation of the plan, and to ensure that projects are developed and resources secured in line with the original priorities and timetable. This group may be the initial planning group, or a different body to ensure that it reflects the needs of the community at this stage.

2. Agree upon the Action Plan to be implemented

- How will initiatives be implemented? Develop community-building strategies which take full advantage of the interests and strengths of the participants and aim toward building the power to define and control the future of the neighborhood.

- For each problem defined, what are the long and short term goals? Do the goals involve bringing in additional resources to the community? Or solving problems by a better use and coordination of existing services and programs? Are they focused on external or internal change, or both?   In addition to developing approaches to external goals and targets, people may decide that they want to strengthen local agencies or programs by combining resources, sharing space or staff, integrating services, developing combined proposals for funding, doing an outreach or publicity campaign that benefits everyone, etc.

- For each goal listed, what are the **measurable objectives** (e.g. How will we know when the goal is reached? What will increase, decrease, etc.?)

- What **strategies** will the community use to meet its goals and solve its identified problems? e.g. meetings with specific targets, information or educational campaigns, development of joint projects, advocacy, etc.

- Who/what are the **targets** for each strategy? Who is the authority, or the person who can make the desired change? Where is policy made? Who makes it? Is policy amenable to change?

- For each goal and objective, identify the **actual steps/tasks** that the community needs to take, and the **timetable** for each step. Clarify what is to be done, who will be responsible, to whom they are accountable, what tasks are expected, within what period of time, and where the resources will be obtained.

3. Create A Monitoring System[5]

The community will need a system by which to monitor progress on implementation of the plan. The system might include touching base

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[5] See *Chapter 16: Collaboration Assessment.*

with a diverse, small group of people, obtaining evaluation and feedback, and issuing periodic progress reports.

4. Modify Activities

New conditions may arise, or new players emerge, which affect the implementation of the plan. It should be expected that adjustments will be necessary. The implementation group may suggest the adjustments and should go back to the entire planning body or the public for final approval.

SAMPLE COMMUNITY ASSESSMENT QUESTIONS

Here are some ideas / topics that might be included in surveys and interviews about the community. Ideally, the whole spectrum -- local needs, problems, assets, capacities and skills -- should be identified, and addressed in the plan.

PERCEIVED NEEDS AND ISSUES:

- Interests and concerns of community members.

- External (e.g. political climate, funds available for community development) or internal (e.g. changes in population, housing development) trends that have affected the community.

- In depth problem analysis, examining interpretations, causes, affected groups, barriers, and possible solutions.

- Available resources and strategies to address issues, and ways to obtain additional resources.

KEY PERFORMANCE AREAS:

- business and economic development
- child care /early childhood development
- crime and public safety
- cultural activities and resources
- drug abuse
- economic development
- education
- employment and workforce preparation
- family development and support
- health care
- housing
- immigrant services
- income support
- legal services
- mental health care
- parks and environment
- political structure and leaders
- sanitation
- social services for youth, the aged, disabled and other special populations
- transportation
- women's issues
- youth development services

COMMUNITY INVOLVEMENT INDEX:

- capacity for cooperation and consensus building
- citizen participation
- civic education / civic groups
- community information sharing
- community leadership
- community vision and pride
- government performance
- inter-community cooperation
- intergroup relations
- philanthropy
- volunteerism
- voting in all types of elections

CAPACITIES, SKILLS, ASSETS: [6]

Individual Assets
- expertise
- gifts of "labeled people" e.g. elderly, single parents
- home based enterprises
- individual skills and abilities
- leadership
- micro enterprise / home businesses
- organizational skills: planning, goal-setting, fundraising, etc.
- personal income

Organizational Assets
- business associations
- businesses, stores, centers of community
- churches, mosques, synagogues, congregations
- citizens associations - fraternal, social clubs, women's groups, athletic clubs, etc.
- communications organizations - newspapers, radio, cable TV
- community-based organizations
- cultural organizations

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[6] This concept of identifying capacities, skills and assets is derived from the work of John McKnight and John Kretzman. (1993). Building Communities from the Inside Out: A path toward finding and mobilizing a community's assets. Evanston, IL: Center for Urban Affairs and Policy Research, Northwestern University.

- employment centers and locales
- financial institutions
- religious organizations

Assets Located within the Community but Largely Controlled by Outsiders
- energy and waste resources
- fire departments
- hospitals and clinics
- institutions of higher education
- libraries
- parks
- physical resources
- police
- private and non-profit organizations
- public institutions and services
- public schools
- social service agencies
- vacant commercial space
- vacant housing
- vacant land

Resources Originating Outside the Neighborhood, Controlled by Outsiders
- welfare expenditures
- public capital improvement expenditures
- public information re: trends, issues, plans

Chapter 17: SERVICE INTEGRATION

LOCATING YOUR AGENCY OR PROGRAM ON THE CONTINUUM

Service integration efforts can range from informal to contractual. Where on this continuum is your department or organization? Place a check next to the relevant entry. Reflect on how this situation evolved, and whether you plan to make it more or less formal.

LEAST FORMAL ↑	**INFORMAL** individual staff linkages ad hoc collaborations or coalitions (temporary) one-way referrals with no follow-up reciprocal referrals with formal routing procedure and monitoring
	PROGRAMMATIC joint publicity/outreach for a new or existing program case management / coordination joint intake and assessment centralized intake, referral and troubleshooting - e.g. via an ombudsperson development of new programs together with existing resources/ donated services ongoing liaison teams/ joint staff
	REGULATED agencies are mandated by funder or other supplier to collaborate agencies adhere to centralized standards and guidelines
↓ *MOST FORMAL*	**CONTRACTUAL** purchase of service (one agency purchases services of another) joint budgeting and fundraising shared administrative support services such as research, technical assistance, evaluation shared program/client resources such as transportation shared space, staff or resources agencies co-locate services to form a multi-service center agencies merge or consolidate with a new Board of Directors

(exercise)   REQUEST FOR PROPOSALS FOR SERVICE INTEGRATION PROJECTS

You are the Director of a service-providing agency in our community. You are troubled by the multitude of issues that clients bring to your organization for assistance, and would like to apply for funds to address these unmet needs. Fortunately for you, there is a funding opportunity!

The Beneficent Government Agency is interested in projects which can meet commmunity needs through coordinated and integrated service delivery structures. The intent of this funding is to target **resources for families** effectively, and reduce duplication of effort by service providers.

Up to $ 150,000 will be provided to collaborations that involve at least three agencies, which address one or more of the following service areas:

- Youth
- Homelessness
- Seniors
- Domestic Violence
- Substance Abuse
- Economic Development
- Immigration

Grants will be awarded on the basis of the following criteria:

1. **Collaborative Program Design:** Whether there are realistic plans for incorporating the expertise of different agencies in programs that will meet identified community needs.

2. The quality of the **Coordinating Structures** that will be used to manage the administration, fiscal operations and program of the collaboration.

3. The proposed use of different **Methods Of Service Integration.**

Please make sure that your proposal addresses these three criteria. After you have completed your "proposal," check Chapter 17 to see how your ideas reflect the suggested design, structure and methods.

Chapter 18: PROBLEM-SOLVING AND CONFLICT RESOLUTION

REVIEW QUESTIONS

1. Name four types of conflict that may be present in collaboration.

2. Identify at least three general guidelines for approaching conflict.

3. What is the difference between WIN / LOSE and WIN / WIN styles of conflict behavior? Give at least two examples of each.

4. How can you defuse arguments?

5. In what situations would you need to implement a full conflict resolution process?

6. What are the four steps in the full conflict resolution process? Provide as much detail as possible for each one.

8. What are the eight steps in the consensus problem-solving process?

9. In what situations would the consensus problem-solving process be appropriate to use? Who must be involved?

PROBLEM-SOLVING EXERCISE

INSTRUCTIONS: This exercise presents one way of opening the dialogue about conflict and brainstorming about different approaches to problem-solving.

Begin the exercise in one large group, and then break into small groups of at least four people each to have a fuller discussion. Try to mix people in with others who they are not close to. The group facilitator should provide the following questions to each small group. After allowing about half an hour for discussion, reconvene the full group and share answers.

1. Have the full group list conflicts that your coalition experiences.

2. List ways that the coalition traditionally deals with these problems. (more⇒)

3. In small groups problem-solve how else you might handle the situation(s).

4. Small groups can discuss different options, or even act them out.

5. Report back on solutions.   The group may decide to adopt different approaches in the future.

## Chapter 19: COMPREHENSIVE COMMUNITY PLANNING

REVIEW QUESTIONS

1. What are the goals of comprehensive community planning?

2. Why is it beneficial to include a broad spectrum of participants in the planning process?

3. What are the major steps in the Community Consensus Planning Process?

4. What are some of the dimensions of discovery in a community assessment?

PLANNING EXERCISE

Using your own community,   or the Community Profile on pages 102 - 103 of this workbook (Social Conditions in Our Community), answer the following questions.

1. What is the major problem or question that should be addressed?

2. Who should be involved in the initial planning team?

3. What strategies will be incorporated in the planning process?

4. What information will the planning team gather, and where is it located?

5. How will the group arrive at consensus on findings and solutions?

6. What mechanism will there be for implementation of the plan?

SECTION V. RECOMMENDED READINGS
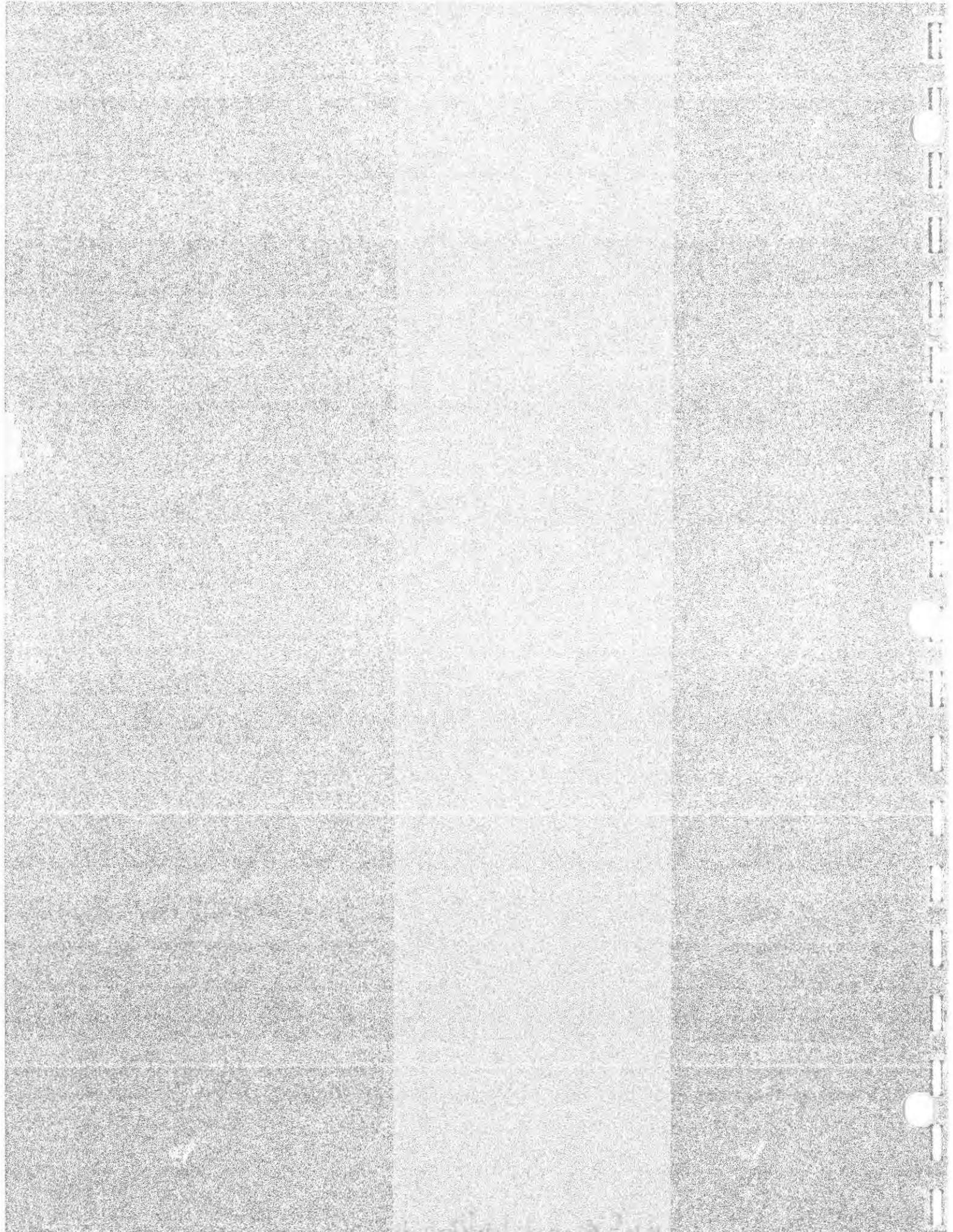
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APPENDICES

- **sample ground rules**

- **statement of purpose**

- **membership agreement**

- **by-laws (table of contents)**

- **operating procedures (table of contents)**

Most of these sample materials are from a real collaboration, established in 1989, that now involves over 500 organizations in twelve issue-oriented committees. This group, Northern Manhattan Collaborates! (NMC!) is an umbrella for virtually all collaborative efforts in one New York City neighborhood of over 198,000 residents. At the time these materials were developed, NMC! had been designated as the official body to determine the allocation of certain State and local funds to that community. The entire group had completed a two - year comprehensive planning process culminating in an ambitious Strategic Neighborhood Action Plan which incorporated part of a federal Empowerment Zone. Subcomponents of NMC! had been successful in attracting other grants for collaborative projects on specific issues such as economic development. Sustaining and increasing participation throughout these endeavors has required continuous attention to group process as well as achievement of interim goals. The samples of NMC! documents presented in this workbook convey how the group approached their internal development. It is hoped that these can be instructive to other collaborations.
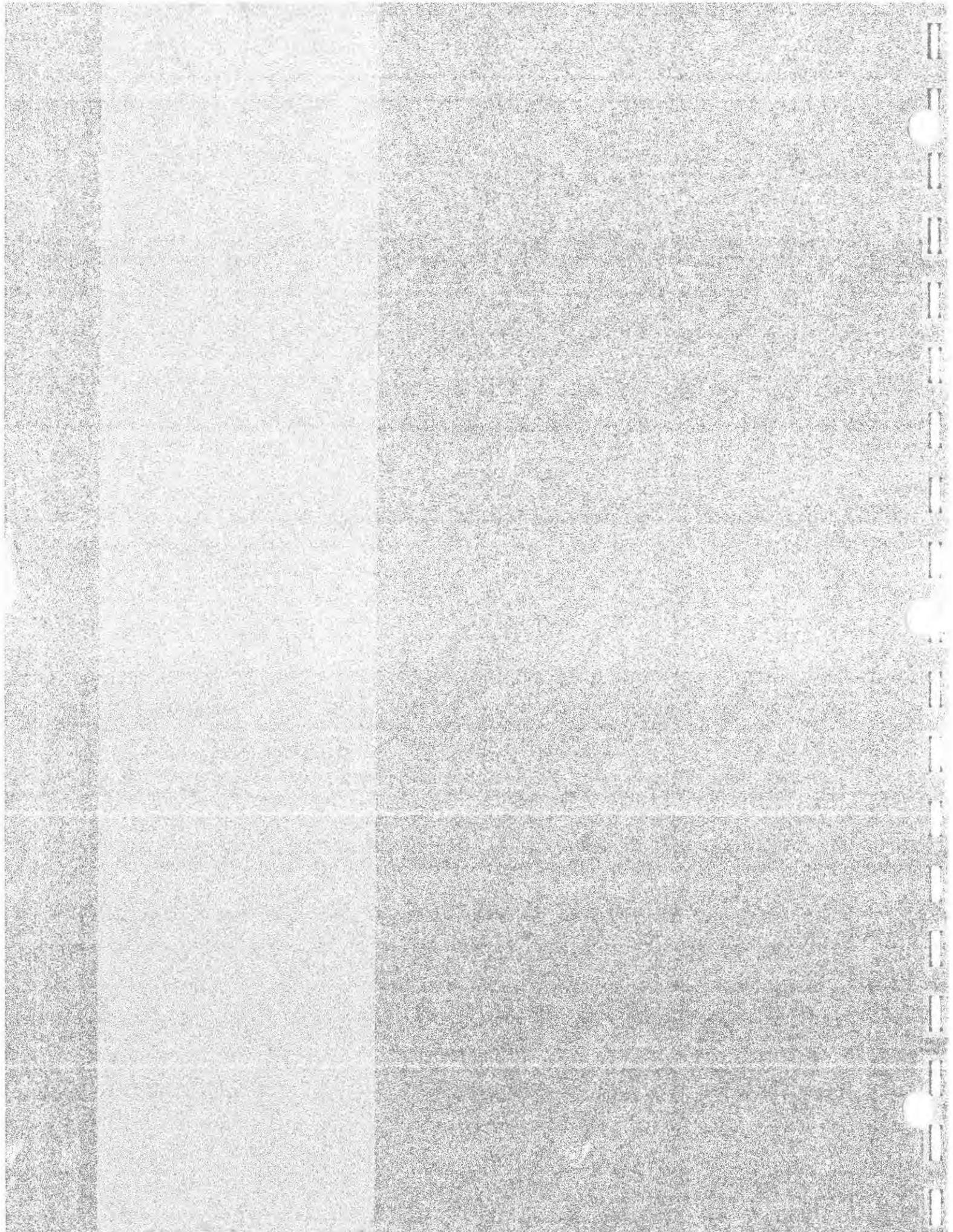
GROUND RULES

Setting ground rules for your coalition meetings will provide the group with some common norms of conduct. This helps to create a shared and safer environment for group discourse. The entire group should be asked to create and endorse these rules at the beginning of the session, and to take responsibility for invoking them as the need arises.

Here are some examples of ground rules that may be useful.

1. One person speaks at a time. No side conversations.

2. We listen to each other with respect.

3. It's OK to disagree. Respect our differences.

4. Give new voices a chance. *(if you are someone who speaks a lot, let others have their say)*

5. No blaming or attacking.

6. Speak briefly and stick to the agenda.

7. It's OK to ask questions to clarify what people mean.

8. We will be patient so that everyone can participate and learn.

SAMPLE STATEMENT OF PURPOSE

NORTHERN MANHATTAN COLLABORATES!

NORTHERN MANHATTAN COLLABORATES! (NMC!) is the coordinating structure for all the major consortia and most of the organizations operating in Manhattan Community District 12. * Membership is also open to individual neighborhood residents and members of the business sector, clergy, schools, government agencies and elected officials. NMC represents people who live or work in the communities of Lower Washington Heights, Central Washington Heights and Inwood, the area bounded by 155th Street on the south, 218th Street on the north, the Hudson River on the west, and the Harlem River on the east.

The NMC! mission is to improve the quality of life in Washington Heights-Inwood. The intent is to serve as a body for comprehensive community planning, advocacy and resource development by:

1. advocating, with and for the community, before all levels of government, corporations, philanthropies and other agencies;

2. examining and responding to funding policies and legislative initiatives that impact on local needs and resources;

3. supporting planning activities and promoting programmatic initiatives to meet identified needs in the community, with community participation;

4. gathering, analyzing and disseminating statistical data on community needs and service delivery.

5. assisting existing and emerging organizations to build service capacity and resources.

* This is a diverse, low/moderate-income urban community of over 198,000 as of the 1990 census.

SAMPLE MEMBERSHIP AGREEMENT

GENERAL MEMBERSHIP AGREEMENT

Northern Manhattan Collaborates! (NMC)

Article I: NMC: I understand that NMC is the planning body and coordinating structure for all the major consortia and most of the organizations operating in Manhattan Community District 12 . I will familiarize myself with the History of the NMC and its Operating Procedures, in order to better understand how this coalition works and the appropriate role for members such as myself.

As a member of NMC, I agree to uphold its mission which is to improve the quality of life in Washington Heights-Inwood. *(mission statement is included here).*

Article II: Who I am Representing: In joining NMC as a General Member, I agree to represent

(a) ____ Myself.
____ I agree to allow NMC to list me as a member, with no agency affiliation for identification purposes.

(b) ____ My organization, collaborative or constituency (please specify): _____
_____
____ I agree to be publicly identified with my organizational, collaborative or constituency's affiliation.

(c) ____ I will be an Ex-officio member.
____ I agree to allow NMC to list me as a member, with no agency affiliation for identification purposes.

Article III: Notification: Please send me information at the following location::
NAME _____
POSITION _____
ORGANIZATION _____
ADDRESS _____
CITY, STATE, ZIP _____
TELEPHONE _____ FAX _____

Please list me as a member of the following COMMITTEE (S), and send me their notices:

____ Aging   ____ Housing

____ Early Childhood Development   ____ Immigration

____ Economic Development   ____ Mental Health

____ Education   ____ Public Safety

____ Environment   ____ Substance Abuse

____ Family   ____ Youth

____ Health

Article III: Commitment to Work with NMC

I agree to stay up to date on the work of NMC by reading faxes and mail sent to me, and attending General Membership meetings when possible.

I understand that if I want to have voting privileges in NMC, I will have to be a Participating Member, joining a committee and actively participating in the work of that committee.

I understand that if I am not a Participating Member, I can attend meetings but not vote.

I understand that I am able to observe NMC NAC or Committee meetings whenever I choose.

Involvement in carrying out the work of NMC:

I, myself, will commit the following to NMC:_____

_____

_____

(if Article II -B pertains) I will commit my organization/collaborative/constituency to:

_____

_____

(if Article II -B pertains)   On a regular basis, I will inform my constituency or the staff and board of my organization about all events of NMC, and will keep NMC informed of relevant news from my organization or constituency.

I will hold NMC responsible for all items that they agree to in this document.

Signed: *(If Article II-A pertains)*

_____ Member (Representative)

(If Article II-B pertains, and member is representing an organization, collaborative or constituency, leaders of that group must also co-sign)

_____Executive Director of Organization or group

_____Board Representative of Organization or group

or

_____ Officer / leader of Community Constituency or
Collaborative to be Represented

_____ Officer / leader of Community Constituency or
Collaborative to be Represented

_____ Officer / leader of Community Constituency or
Collaborative to be Represented

SAMPLE BY-LAWS: TABLE OF CONTENTS

Note: These by-laws were necessary because the collaboration had grown to include several community-wide collaborations mandated or funded by government and private funders, 12 issue-oriented committees, and a membership of over 500 organizations. This is a complex collaboration structure, as is reflected in the types of concerns covered in their by-laws and operating procedures.

BY-LAWS
NORTHERN MANHATTAN COLLABORATES!

PREAMBLE:

These by-laws are intended to stimulate and sustain the unification of members of Northern Manhattan Collaborates! (NMC!) on behalf of the community, in order to address the needs of its people in a caring, compassionate and honorable way. By-laws cannot replace the genuine willingness to come together in the spirit of cooperation and trust which is a necessary requirement of collaboration. It is expected that participants in NMC! can refer to these by-laws as a set of principles and protocols to bind their commitment and guide their collective work.

These By-laws are to be utilized in conjunction with the Operating Procedures and Memoranda of Understanding. The by-laws state the NMC! policies; the Operating Procedures establish standards for how NMC! members are to implement those policies and conduct collaborative business; and the Memoranda of Understanding formalize agreements and expectations for leaders and members of NMC! and the agencies, committees, constituencies and community they represent.

CONTENTS

ARTICLE I : NAME, JURISDICTION, PURPOSE

ARTICLE II: STRUCTURE

ARTICLE II-A. NMC GENERAL MEMBERSHIP

SAMPLE OPERATING PROCEDURES -- ACCOMPANIES BY-LAWS

OPERATING PROCEDURES
NORTHERN MANHATTAN COLLABORATES!

CONTENTS

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    2. FUNDING OPPORTUNITIES AND NMC PROPOSAL
       SUBMISSIONS
    3. POSITION PAPERS AND PUBLIC TESTIMONY
    4. LETTERS OF SUPPORT / ENDORSEMENT
C. USE OF NMC STATIONERY

VIII. NMC STRATEGIES AND ACTIVITIES

A. STRATEGIES FOR ACTION
B. METHODS OF INCLUSION

IX. SUGGESTIONS FOR RUNNING NMC MEETINGS

X. MEMBERSHIP AGREEMENTS and MEMORANDA OF UNDERSTANDING (M.O.U.)

A. NMC GENERAL MEMBERSHIP AGREEMENT
B. MOU: COMMITTEE CHAIRPERSON AND COMMITTEE MEMBERS /
C. MOU: CONSTITUENCY/ COLLABORATIVE REPRESENTATIVE AND
    CONSTITUENCY or COLLABORATIVE
D   MOU: EX-OFFICIO NAC MEMBERS
E. MOU: OFFICERS
F. MOU: NMC NEIGHBORHOOD ADVISORY COUNCIL AND THE
    LEAD AGENCY FOR THE NEIGHBORHOOD BASED ALLIANCE

COLLABORATION / COALITION SELF-ASSESSMENT TOOL
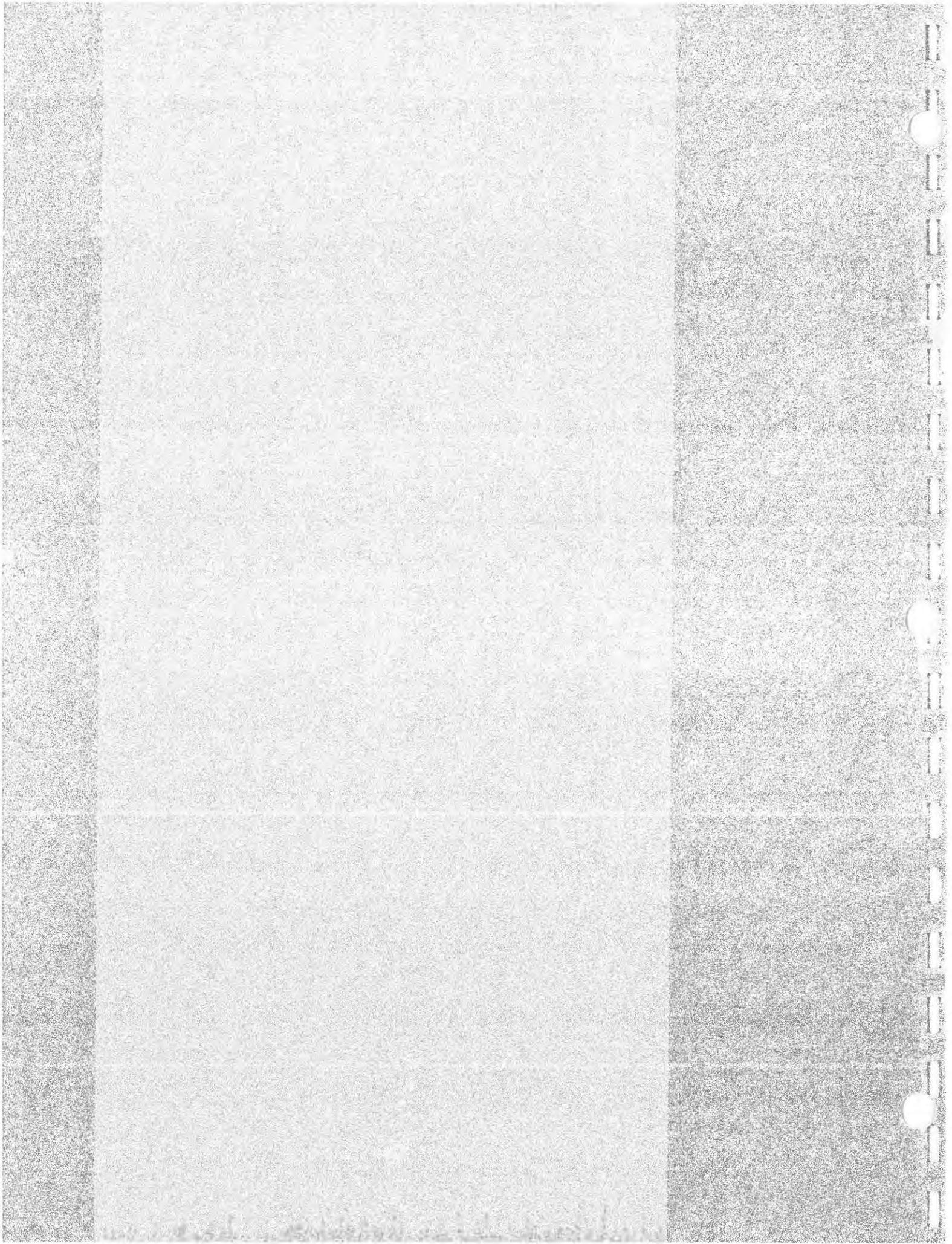
COLLABORATION / COALITION SELF-ASSESSMENT TOOL

This questionnaire may be used to a) assess your coalition / collaboration at its current stage; b) to plan for the future; and c) to evaluate your group's work and operations and identify areas that may need improvement. You may answer the questions as they currently apply to your coalition, or as they would apply in the future.

COALITION NAME _____ YEAR ESTABLISHED_____

WHO STARTED THE COALITION AND WHY?_____
_____
_____

COLLABORATION DEVELOPMENT

1. In what phase of development is your collaboration? Use the following chart to check off the outcomes that you have accomplished to date. Add other achievements that are relevant for your group. Make sure to distinguish between outcomes pertaining to collaboration functioning (Process) and those related to achievement of externally-oriented projects and goals (Product).

PHASE I: FORMATION			
PROCESS OUTCOMES	√	PRODUCT OUTCOMES	√
Ground Rules		Publicity material re: purpose and goals of the collaboration	
Membership List			
Membership Agreements		Service directory	
Collaborative Agreements		Contact/alert sheets and systems to activate membership around tasks	
Statement of Purpose/Mission			
Steering Committee		Information on targets and likely points of access	
Decision-making structure		Mutually agreed-upon strategies and activities	
Management structure			
By-laws or Operating Procedures			
Established Office Site			
Stationery			

(continued on next page)

PHASE II: IMPLEMENTATION			
PROCESS OUTCOMES	√	PRODUCT OUTCOMES	√
Activity and research reports Increased number of people and organizations involved in the core and extended collaboration network Funding proposals are developed and sent. Evaluation measures and a process is determined. Application for tax exempt status, if relevant.		**Action Plan** Needs assessment and analysis is conducted or updated Needs assessment is disseminated for reactions, and then revised and finalized Committee work makes steady progress toward meeting goals and implementing strategies	
		Planning Community involvement in identifying service needs and evaluating service operations A mechanism to systematically involve consumers/clients in planning and implementing services	
PROCESS OUTCOMES	√	PRODUCT OUTCOMES	√
		Service Integration New service systems to make services more sensitive, comprehensive or targeted Increased services, as measured by either units of service or numbers of clients served, or additional dollars for service delivery Procedures for consumer monitoring of joint services	
		Advocacy / Social Change A new advocacy campaign Public education and outreach Resource development strategies and plans Increased resources for community needs	

PHASE III: MAINTENANCE			
PROCESS OUTCOMES	√	**PRODUCT OUTCOMES**	√
Evaluation of outcomes of collaboration Regular meetings or special events Updated membership and mailing lists The Collaboration provides concrete benefits (information, resources, contacts) for its members.		Results continue to be produced from ongoing projects Collaboration focuses on a new issue Regular communication / information-sharing mechanism. i.e. a newsletter	
PHASE IV: TERMINATION			
PROCESS OUTCOMES	√	**PRODUCT OUTCOMES**	√
Collaboration ceases, or group is transformed. Time limited projects are completed and collaboration convenes as needed.		Projects are completed and goals met Power is transferred Projects are spun off The need for this collaboration no longer exists	

MEMBERSHIP CRITERIA

1. Who can become a member?_____

_____

2. Who is excluded, and why?_____

3. Strategically, who do you NEED as members and what can they bring to the coalition effort? _____

_____

_____

4. What is required of members? Does your coalition utilize membership agreements?_____

_____

_____

GOALS

1. What is the primary purpose of your coalition or collaboration? _____

_____

_____

2. Which other additional goals is your group pursuing?_____

_____

_____

3. Does your coalition have a primary target of change?

☐ legislative body

☐ elected public official

☐ public administrator or regulatory agency

☐ general public

☐ specific constituency or community

☐ corporate or private entity

☐ other: _____

4. How would you categorize your coalition's goals? Check (√) whichever categories apply.

TYPE of GOAL	Proactive	Defensive	Social Change	Resource Enhance-ment	Service Coordin-ation	Other
Long Term/ single goal						
Long Term / general goal						
Short Term/ single goal						
Short Term / general goal						

5. What will constitute success? _____
_____

STRATEGIES

1. Which strategies do you or will you use to address your collaboration's goals (as identified on the previous page) Check all that apply.

√	Consensus Strategies:	√	Conflict Strategies:
	• Planning		• Negotiation
	• Research		• Bargaining
	• Information and Education		• Lobbying
	• Persuasion		• Demonstrations & Marches
	• Exchange		• Public Accountability Confrontations
	• Pilot projects		• Civil Disobedience
	• OTHER:		• OTHER:

ACTIVITIES

1. Which activities does your collaboration / coalition implement?

Social Change / Political Action_____

_____

_____

Service Integration / Coordination _____

_____

_____

Conflict Resolution / Problem-solving _____

_____

_____

Planning _____

_____

_____

Organizational Development, Resource Enhancement, or Recognition for Collaboration
Members _____

_____

_____

Other _____

_____

_____

STAFF

If your collaboration has staff, answer the following:

1. Staff is paid by _____.

2. Staff is located _____.

3. Staff is held accountable to the full collaboration in this way:

_____

_____

4. Which activities/ tasks are staff handling? Would you propose that they focus on other activities or tasks that would better serve the needs of your coalition / collaboration? *If your collaboration does not have staff, or has insufficient staff,* consider who could handle the relevant tasks listed below.

STAFF ACTIVITIES	Current	Proposed
1. Leadership development		
2. Follow-up on implementation of tasks. Assist where needed.		
3. Trouble-shoot and mediate in disputes in the community helping system, or among the membership of the coalition.		
4. Organizational maintenance: e.g. scheduling and planning meetings, membership involvement, filing, record-keeping, correspondence		
5. Organize celebrations and special events.		
6. Publicize the achievements of the coalition.		
7. Assist committees with research and policy efforts.		
8. Attend meetings and take minutes.		
9. Provide assistance in scheduling meetings and making calls to confirm attendance.		
10. Handle all project typing, word processing, correspondence, and telephone work.		
11. Regularly update the coalition's mailing list/data base.		
12. Centralize communication between collaboration members.		
13. Handle record-keeping and program reporting.		
14. Help identify community resources and needs, using focus groups, futures searches. interviews, surveys, and statistical research.		
15. Involve a broad spectrum of the community in the planning and problem-solving process.		
16. Develop planning tools and lead/coordinate planning approaches.		
17. Develop specific and comprehensive plans.		
18. Assist groups in integrating services and implementing plans.		
19. Assist collaboration in targeting and accessing outside resources.		
20. Develop measures of project effectiveness, as part of the planning process.		
21. Develop evaluation instruments to measure project progress and achievements.		
22. Help the coalition participants to understand and utilize the evaluation reports as tools for project enhancement.		
23. OTHER: _____		

STRUCTURE / DIVISION OF LABOR

1. Complete this chart in order to clarify who does what, and how your coalition handles these necessary functions. First, fill in the top row with the different divisions/ levels of your collaboration structure -- for example, Steering Committee, Board, etc. Then place a checkmark in the box of the level which is primarily responsible for each of the functions listed in the left-hand column.

LEVELS in our STRUCTURE

FUNCTIONS					
Organizing and Outreach					
Membership Recruitment and Development					
Governance					
Fundraising					
Fiscal Management and Reporting					
Communication					
Personnel - Hiring and Supervision					
Program Development and Reporting					
Program Implementation and Evaluation					
Planning					
Leadership Development					
Public Relations and Public Information					
Committee Development					
OTHER:					

LEADERSHIP

1. What kinds of leadership roles exist in your collaboration? Name the people who fill them.

POSITION	WHO FILLS IT?
President, Co-President	
Chairperson/Co-Chair	
Officers	
Director/Co-Director	
Coordinator / Co-Coordinator	
Steering Committee Members	
Board Members	
Executive Committee Members	
Team Leader / Committee Chairperson	
Other	

LEADERSHIP FUNCTIONS

1. Identify which level of leadership handles the following tasks. Consider how else can these functions be handled? How can these functions be taught to others?

TASK	LEADERSHIP RESPONSIBLE
Task -Oriented Work:	
defending against attacks and setbacks	
educating the public	
implementing coalition strategy	
influencing or educating the social change target	
moving toward the social change goal	
organizing and conducting meetings	
outreach to the community and to member organizations	
planning	
reporting and documentation	
Process-Oriented Work:	
building consensus and managing conflict	
consciousness-raising/educating membership	
coordinating with other elements of the collaboration	
creating a positive climate	
keeping membership involved (mobilizing members)	
keeping outside supporters involved/informed	
leadership development	
maintaining internal coalition operations	
sustaining participation	

LEADERSHIP DEVELOPMENT

1. How long have the current leaders of your collaboration been in their positions? _____
_____

2. What mechanism do you have for leadership succession?_____
_____

3. What mechanisms do you have for leadership development in your collaboration? If none, what might be feasible to develop?_____
_____

❑ providing opportunities to practice new skills and tasks

❑ providing training to strengthen leadership skills

❑ mentoring

❑ pairing established and new leaders to perform specific tasks such as running meetings, giving speeches, delegating and following up on tasks

❑ co-chairing committees or task groups

❑ developing clear job descriptions and evaluations for different leadership positions, so that participants know what is expected and have some measure of their effectiveness

❑ providing emerging leaders with group or individual feedback and constructive criticism

❑ structuring second line leadership roles with opportunities for growth - for example committee co-chairpersons may be eligible to become board members or officers

❑ rotating leadership positions on a regular basis, to ensure that new talent has a chance to emerge

❑ OTHER:

RESOURCES

1. Projected Annual Budget:_____

2. Annual Income:
     Cash   _____   In-Kind donations, volunteers_____

3. Source of Resources (in %) :
     Membership Dues   _____   Sponsorship   _____
     Grants   _____   Volunteers & In-Kind _____

4. How do you utilize a *coalition / collaboration* fundraising strategy ?_____
_____
_____

5. How do you handle competition for funds between the coalition and its members? _____
_____
_____

SUSTAINING PARTICIPATION:

1. What are the main reasons that members want to participate in your coalition / collaboration?

Pragmatism/ Self-interest: quest for resources and power
- ❑ To obtain something for their organization or constituency
- ❑ To obtain something tangible for themselves as an individual
- ❑ To enhance agency or professional reputation or credibility
- ❑ To gain protection in a shared stance
- ❑ To obtain information or contacts

Ideology/ Altruism: value-based commitment to a cause or public interest
- ❑ To do innovative or creative work
- ❑ To promote a particular political or religious ideology
- ❑ To do good work to benefit others
- ❑ To further civic duty or pride

- ❑ Other (please specify):

2. How does your coalition / collaboration maximize commitment and participation?

- ❑ Structure opportunities for multiple levels of commitment.
- ❑ Clarify what kind and level of commitment is desirable and how it should be demonstrated.
- ❑ Encourage collaborators to articulate the basis and extent of their commitment.
- ❑ Provide a variety of incentives to sustain participation, addressing the actual motivation of the members. (please specify)
- ❑ Plan for fluctuations in commitment over time.
- ❑ Address the need for protection of members.
- ❑ Structure broad participation in decision-making
- ❑ Negotiate equivalent rewards for different types of contributions made to the coalition
- ❑ Provide a mechanism for leadership development and succession
- ❑ Develop and use a mechanism for conflict resolution.
- ❑ Members become informed and involved on an issue
- ❑ Members gain new skills, competencies, connections and information
- ❑ Collaboration cultivates resources and benefits that are important for members (e.g. Technical Assistance, funding, publicity)
- ❑ Members have an opportunity for creative/innovative work

❑ Services provided by members are coordinated

❑ Division of labor is comfortable for members

❑ Other (please specify)

3. What direct benefits does your collaboration / coalition offer to members? Are there other things that they need that could be provided? _____

PROBLEMS THE COALITION EXPERIENCES OR ANTICIPATES, and POSSIBLE SOLUTIONS

1. What problems is your collaboration experiencing? Consider dynamic tensions, developmental challenges, unequal power or rewards, or other dimensions. How are these issues resolved?

INTERNAL PROBLEMS	SOLUTIONS
EXTERNAL PROBLEMS	**SOLUTIONS**

2. What mechanisms does your coalition / collaboration utilize for conflict resolution? _____
_____
_____