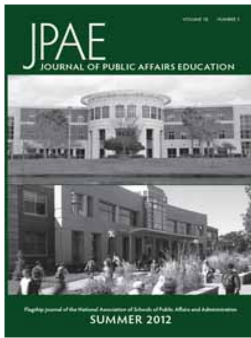

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Teaching Collaborative Governance: Phases, Competencies, and Case-Based Learning

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Abstract
Collaborative governance is becoming a primary motif in public administration research and practice. There is widespread recognition of the need to develop leaders for collaborative governance, yet clear guidelines or standard operating procedures are elusive. However, while the literature is varied, a broad model of collaboration phases is distinguishable and core competencies are emerging. This article outlines a four-phase model of collaborative governance and corresponding competencies to help ground education and training for collaborative governance. The application of this approach to case teaching is demonstrated by repurposing a readily available teaching case.

The field of public administration has undergone a shift in emphasis over the last two decades. Whereas public administration has traditionally been somewhat synonymous with government bureaucracy, that is no longer the case. An emphasis on hierarchy, command-and-control, and top-down management has given way to an emphasis on networks and collaboration (O'Leary & Bingham, 2009; Osborne, 2010). Indeed, the notion of the public agency as Weberian hierarchy is being supplanted by images of blurred or "fuzzy" boundaries, and of networks as key links between governance and government (Kettl, 2002; Kettl & Goldsmith, 2009).

While organizational management still matters and bureaucracy persists, public managers and public administration scholars realize that the public's work is increasingly accomplished through a variety of initiatives and relationships that cross organizational boundaries. The overarching label that is increasingly used to describe this new paradigm is *collaborative governance*. The term may be seen as an outgrowth of an expanded notion of "governance" that provides the intellectual superstructure for the new paradigm (Osborne, 2010). George Frederickson explained that the concept of governance "performs a kind of rhetorical distancing of public administration from politics, government, and

bureaucracy" (1997, p. 78). Governance is more than government; it is the combined efforts of all sectors in the "steering" of society. Governance "describes the processes and institutions through which social action occurs, which might or might not be governmental" (Kettl, 2002, p. 119).

Collaborative is added as a modifier to governance to emphasize the nature of the process by which the various societal actors engage in collective action. Collaborative governance is often used to describe how public agencies partner with non-state stakeholders in the process of solving public problems or otherwise creating public value (Ansell & Gash, 2008; Bryson, Crosby, & Stone, 2006). However, collaborative governance also often involves partnerships between public agencies and may incorporate interagency and intergovernmental partnerships as well (Emerson, Nabatchi, & Balogh, 2012).

Collaborative governance is thus an umbrella term[1] that encompasses various interweaving strands of public administration scholarship including intergovernmental and interagency collaboration, regionalism, cross-sector partnerships, public service networks (or simply network studies), consensus building, and public engagement. As such, it is more of a broad frame or motif for public administration rather than a singular model or framework. There is no theory of collaborative governance per se.

While some offer models and guidelines, collaborative governance eschews POSDCORB-like straightforwardness. There are many models and frameworks and many vantage points from which to approach collaborative governance. It is a complex and contingent body of thought. Yet there is an unquestioned recognition in public administration and related fields that practitioners in the public sector need to be better equipped to manage and lead in a world of shared power, that is, within the context of collaborative governance.

The aim of this article is to contribute to the question of *how to develop collaborative competencies* in current and future public practitioners.[2] We specifically examine *what* we need to teach in terms of collaborative governance. We review the relevant literature and present a four-phase model of and competencies for collaborative governance. We then provide a demonstration of how the four-phase model and competencies can be used in one of the most common teaching tools in public affairs, the case study. The potential of cases for teaching collaborative competencies are often not fully realized because of their "hindsight is 20/20" presentation. When teaching collaborative governance, cases ought to emphasize thinking through contingencies, as the subjects in the cases did.

While collaborative governance is complex and contingent, the process itself can be understood in terms of broad phases and decisions that must be made within those phases. Because of this, a *prospective* use of case studies, where the action is stopped periodically so learners can assess progress and consider adaptations, offers significant advantages over the more common *retrospective* design.

Collaborative Governance—Phases and Competencies

In this section, phases of and competencies for collaborative governance are examined. While the literature on collaborative governance is still very much in flux (and is likely to continue to be so for the foreseeable future), a broad model of collaborative process in terms of phases or stages is emerging, while at the same time a set of collaborative competencies is coalescing.

Phases of Collaborative Governance

In the literature, both academic and more applied, there are many attempts to characterize or model processes of collaborative governance. The different models and frameworks demonstrate, for the most part, important consistencies. While each may have a different emphasis (descriptive versus normative, for example), and each speak to slightly different audiences, they all paint a very similar picture of what collaborative governance looks like.

Talking about collaborative process in terms of broad stages or phases is common in the literature. For example, Carlson (2007) outlines the tasks of leaders in collaborative governance based on what they do "before, during, and after." Chrislip's *Collaborative Leadership Fieldbook* (2002) breaks down collaborative tasks along the lines of "getting started, setting up for success, working together, and moving to action." Jeffrey Luke (1998) speaks in terms of "raising awareness, forming working groups, creating strategies, and sustaining action." These and other discussions of collaboration and collaborative leadership share strong consistencies with one another, suggesting widespread agreement around conceptualizing collaboration in terms of broad phases with corresponding competencies. Table 1 presents a synthesized four-phase model of collaborative governance, drawing on the models mentioned earlier as well as several other sources, including Ansell & Gash (2008), Bryson et al. (2006), Cormick, Dale, Emond, Sigurdson, & Stuart, (1996), Gray (1989), Linden (2002, 2010), Straus (2002), Susskind & Thomas-Larmer (1999), Winer & Ray (1994), and Wondolleck & Yaffee (2000).

Table 1.
Phases of Collaborative Governance

Assessment	Initiation	Deliberation	Implementation
Is collaboration necessary? Are preconditions in place? Who are the stakeholders? Who might fill key roles (sponsor, convener, and facilitator)?	How to frame the issue? How to engage stakeholders? Who/what else is needed? What kind of process?	How to develop effective working group? What ground rules? How to invent options and decide? How to facilitate mutual learning?	Who will do what? How to broaden support? What kind of governance structure? How to monitor progress?

The first phase of collaborative governance involves *assessment*. This phase deals with initial conditions that greatly affect the likelihood of partnership success and an assessment of whether collaboration is necessary and possible. This phase includes

- understanding contextual factors such as a history of cooperation and other institutional incentives or constraints (Ansell & Gash, 2008; Bryson et al., 2006);
- identifying stakeholders (Chrislip, 2002; Gray, 1989; Linden, 2010; Luke, 1998);
- general agreement on the problem, or at least a sense of shared purpose (Bryson et al., 2006; Gray, 1989; Linden, 2010); and
- a sense of urgency (Luke, 1998) or commitment to "pursue a collaborative solution now" (Linden, 2010, p. 40).

Thus the critical function for would-be collaborative leaders is *situation assessment*. The initial conditions must be analyzed to assess whether collaboration is actually needed and feasible (Carlson, 2007; Carpenter, 1999; Chrislip, 2002; Luke, 1998; Susskind & Thomas-Larmer, 1999).

Once it is clear that conditions necessitate collaboration and that the potential for collaborative success is at least somewhat favorable, the process moves from assessment to *initiation*. Process initiation involves

- identifying convener and sponsor roles, which may involve identifying resources (Carlson, 2007; Chrislip, 2002; Gray, 1989; Bryson et al., 2006); and
- convening stakeholders, developing a working group, and process design (Carlson, 2007; Chrislip, 2002; Gray, 1989, Luke, 1998).

Whereas the assessment phase is primarily about analytical skills, process initiation emphasizes the "soft skills" of convening, relationship development and team building (Alexander, 2006).

After initiating a process with a core group of stakeholders and gaining commitments to work together in some fashion, the difficult work of *deliberation* begins. Here facilitation skills come to the fore. Elements of the deliberation phase include

- establishing ground rules (Gray, 1989; Luke, 1998);
- deliberation and dialogue as part of a mutual learning process aimed at creating and exploring options (Gray, 1989; Luke, 1998; Ansell & Gash, 2008); and, ultimately,
- reaching collaborative agreements (Carlson, 2007; Chrislip, 2002; Gray, 1989; Luke, 1998).

In their discussion of intergovernmental collaboration, Agranoff and McGuire (2003) refer to a kind of "groupware" that is developed in successful partnerships, a notion that closely tracks the elements of the deliberation phase. They argue that this groupware entails social capital, shared learning, and negotiation (pp. 179–80).

Once partners decide on outcomes and strategies, the collaborative process moves to the *implementation* phase (Carlson, 2007). Implementation involves a variety of mutually supporting components, including

- designing governance structures (Ansell & Gash, 2008; Bryson et al., 2006; Gray, 1989; Luke, 1998);
- building constituency support or finding other "champions" (Chrislip, 2002; Gray, 1989; Linden, 2010; Luke, 1998); and
- monitoring agreements, evaluating outcomes, and otherwise managing the partnership (Chrislip, 2002; Gray, 1989; Luke, 1998).

The implementation phase is where many partnerships flounder. Agreements and plans are made, but when the proverbial "rubber meets the road," it can be difficult for partners to change or otherwise follow through.

In outlining collaborative processes in this way—as four broad phases—it is important to acknowledge that every phase may have a porous border with its adjoining phases, and in practice there is often iteration between the deliberation and implementation phases. Additionally, there is a great deal of variation within each phase regarding the particular elements and ordering of events. Collaborative processes rarely occur in a neat, step-by-step fashion, which is why "systems thinking" is often identified as a meta-competency (Luke, 1998).

Yet broad phases are discernable, and expressed in this manner each phase of the collaborative process emphasizes different sets of competencies. Assessment requires analytical skills. Initiation is about networking and persuasion. Deliberation involves group dynamics and other process skills. And implementation involves a constellation of "network management" competencies (Milward & Provan, 2006). We turn now to the extant literature on collaborative competencies.

Collaborative Competencies

Recently, several noteworthy efforts have been made to define the competencies for collaborative governance. The literature identifies numerous collaborative competencies[3] that generally correspond with the phases of collaborative governance outlined earlier. First, a general framework of collaborative competencies developed by a group of practitioners and scholars, and specifically aimed at training government officials, is presented. Next, several other academic and practitioner sources are reviewed. We think the recent work of a multi-university network on collaborative governance (described next) is the most useful starting point for developing a competencies-based approach to teaching collaborative governance.

From 2009 to 2011, a working group of the University Network for Collaborative Governance (UNCG)[4] developed and refined a set of collaborative competencies for public managers and planners. The working group analyzed many diverse sources of competencies for leadership and collaboration, including the U.S. Office of Personnel Management (OPM) Executive Core

Competencies, the International City/County Management Association (ICMA), the Cooperative Extension System, and the Centre for Innovative and Entrepreneurial Leadership in British Columbia.

The *UNCG Guide to Collaborative Competencies* (Emerson & Smutko, 2011) is unusual and important for several reasons. First, it draws from diverse sources, from cooperative extension to federal agencies to thought leaders in the realm of civic engagement. Second, the working group is made up of scholars and practitioners from a variety of disciplinary backgrounds. Third, UNCG itself spans various institutions and programs, so the need to find the maximum overlap amid different "pracademic" orientations was important.

The working group identified 10 primary competencies and grouped them into the categories of (a) leadership and management competency; (b) process competency; (c) analytic competency; (d) knowledge management competency; and (e) professional accountability competency. Specific competencies include the following:

- Analytic and strategic thinking in and for collaborations
- Negotiating agreements and managing conflict
- Working in teams and group facilitation
- Evaluating and adapting processes
- Personal integrity and professional ethics

The complete list, with detailed descriptions and assessment tools, can be found in the *UNCG Guide to Collaborative Competencies* (Emerson & Smutko, 2011).

The UNCG's collaborative competencies guide is a particularly good resource for the reasons noted earlier, and also for further validation that has taken place since the draft document was first developed in 2009. At a May 2010 conference on environmental conflict resolution, developers of the UNCG collaborative competencies surveyed attendees to gain feedback on the clarity and usefulness of the competencies. Approximately 50 responses came from federal agency personnel, collaboration/conflict resolution practitioners, and others in the field. Thus the UNCG work represents a thorough review of relevant sources, the insight of a cross-disciplinary team of scholars and practitioners, and the additional feedback of dozens more practitioners.

Another significant effort at developing collaborative competencies is the Turning Point Initiative. The initiative's purpose is to transform and strengthen the public health system in the United States by making it more community based and collaborative.[5] One result of the effort was the development of learning modules organized around six key principles of collaborative leadership: (a) assessing the environment; (b) creating clarity (visioning and mobilizing); (c) building trust; (d) sharing power and influence; (e) developing people; and (f) self-reflection. We find general consistency with these principles, the UNCG work, and the phases of collaboration identified earlier.

Russell Linden's *Leading Across Boundaries* (2010) draws from examples of government, nonprofit, and inter-sector collaboration to identify five characteristics of collaborative leaders:

1. Feel driven to achieve the goal through collaboration, with a measured ego.
2. Listen carefully to understand others' perspectives.
3. Look for win-win solutions to meet shared interests.
4. Use pull more than push.
5. Think strategically: connect the project to a larger purpose. (p. 78)

These characteristics are more personal qualities than specific skills. Yet it is important for practitioners to reflect on underlying attitudes or dispositions that contribute to whether one recognizes an opportunity for collaboration at all, as well as what tools to apply in collaborative situations.

The Policy Consensus Initiative's *Practical Guide to Collaborative Governance* (Carlson, 2007) does not explicitly list competencies, but it is practice oriented and as such identifies the skills needed to successfully lead collaborative efforts. The competencies gleaned from *Practical Guide* include

- mastering different forms of collaborative governance—different degrees of consultation, cooperation and collaboration;
- understanding conditions which favor or impede collaboration;
- assessing conditions: applying principles to situations;
- providing pre-process steps to convene stakeholders;
- designing an appropriate forum, developing ground rules, and (often) choosing and working with an impartial facilitator;
- helping participants prepare, participate at the table, and communicate with their constituency or superiors;
- ensuring effective participation within the size and nature of the group;
- applying tools for managing discussion and formulating areas of agreement; and
- crafting longer-term governance structures to support ongoing collaboration.

In the field of planning, Innes and Booher's (2010) discussion of the "praxis of collaboration" includes relevant analytical and behavioral skills. While their discussion is too extensive to fully summarize here, important aspects of praxis include establishing necessary conditions (including providing incentives, developing leaders, and establishing inclusionary decision making) and creating authentic dialogue, which the authors see as the "praxis of process" (p. 97). Their theme is the application of principles to "the context, players and problem." They note that "one can start from known best practices and follow some broad steps," but "the particulars of each situation are critical and normally will require deviations from guidelines." The notion of praxis embraces a learn-by-doing approach to process, emphasizing "experimenting, testing and adapting" (p. 116).

A complementary discussion of strategies and competencies comes from a book on networked government, which is closely aligned with conceptions of collaborative governance (Koliba, Meek, & Zia, 2010). The authors' strategies for network management are similar to the other works on collaborative competencies: oversight; mandating; providing resources; negotiation and bargaining; facilitation; participatory governance/civic engagement; brokering; boundary spanning; and systems thinking. Bingham, Sandfort, and O'Leary (2008) similarly outline what they refer to as the "capabilities" of "collaborative public managers." Their list of capabilities is likewise consistent with other work in this review. Included in their list are items such as network design, meeting facilitation, conflict management, and evaluating outcomes.

Getha-Taylor's (2008) study of high performers' scores on OPM's Executive Core Qualifications (ECQs) found that the most significant competencies for collaborative effectiveness are (a) interpersonal understanding, (b) teamwork and cooperation, and (c) team leadership. These results are significant because they stand in contrast to what OPM identifies as key competencies for building coalitions (political savvy, negotiating/influencing, and partnering).

Finally, Morse's (2008) review of collaborative competencies compiles the attributes, skills, and behaviors identified in the research on collaborative leadership that were not already identified as competencies for effective public organizational leadership. Attributes include systems thinking and a sense of mutuality. Skills include strategic thinking and facilitation. Behaviors include stakeholder identification, issue framing, and facilitating mutual learning processes (2008, p. 85).

Table 2.
Collaborative Competencies—Themes from the Literature

Assessment	**Initiation**	**Deliberation**	**Implementation**
Issue analysis Environmental assessment Stakeholder identification Strategic thinking	Stakeholder engagement Political/community organizing Building social capital Process design	Group facilitation Team building and group dynamics Listening Consensus building Interest-based negotiation	Developing action plans Designing governance structures Public engagement Network management Conflict resolution Performance evaluation
Meta-Competencies			
Collaborative mind-set Passion for creating public value Systems thinking		Openness and risk taking Sense of mutuality and connectedness Humility or measured ego	

This review illustrates how the different approaches to collaborative competencies have significant consistencies with one another and correspond in large part to the four-phase model (see Table 1). While it is not exhaustive, the sampling here indicates the strong common themes across academic and practitioner approaches to collaborative competencies. Table 2 summarizes the competencies identified in the literature, grouping them by the four phases of collaborative governance. It is important to note here that while particular phases tend to emphasize certain competencies, many competencies are important across many or all phases. Organizing them along the phases, therefore, is seen as more helpful for teaching and learning, particularly in structuring case teaching (as illustrated next). Additionally, there are several meta-competencies or personal qualities that cut across the phases of collaboration and underlie one's approach to collaboration in general (e.g., whether opportunities are seen, what specific tools are used, etc.).

One of the meta-competencies for collaborative governance worth special mention is systems thinking. Peter Senge describes systems thinking as "a discipline for seeing wholes....seeing interrelationships rather than things...seeing patterns of change rather than static 'snapshots'" (1990, p. 68). Jeffrey Luke further explains that this habit of thinking involves (a) "thinking about impacts on future generations;" (b) "thinking about…ripple effects and consequences beyond the immediate concern;" and (c) "thinking in terms of issues and strategies that cross functions, specialties, and professional disciplines" (1998, p. 222).

Russ Linden similarly speaks of a "collaborative mind-set" that involves taking the long view or seeing the big picture, which he relates to the notion of "court vision" in basketball (Linden, 2010, pp. 1–2). Given that this mind-set or way of seeing the world undergirds whether one even recognizes an opportunity or need for collaboration, it stands to reason that education and training for collaborative governance ought to emphasize the development of systems thinking.

Phased Case Method for Teaching Collaborative Governance Competencies

The preceding section outlines a four-phase model of collaborative governance and corresponding competencies drawn from the literature. This model provides a foundation for the task of developing collaborative competencies in public affairs students (in-service and pre-service) in terms of thinking about *what* to teach. We now turn to the question of *how* to teach these competencies. While there are many useful pedagogical approaches (e.g., O'Leary, Bingham, & Choi, 2010), the case method merits special attention.

Case-based teaching or the "case method" (Boehrer, 1996; Gomez-Ibanez & Kalt, 1986; Lynn, 1999; Wasserman, 1994) is widespread in public affairs education and has great potential for teaching collaborative competencies. However, given the process and related competencies of collaborative

governance, we argue for a prospective, phased approach to case teaching. By *phased approach* we mean simply that the action is stopped periodically at critical points—for collaborative governance cases, those points falling between phases—so learners can assess progress and consider adaptations.[6]

The typical way of reading cases retrospectively lends itself to seeing snapshots, to deductive logic, and linear thinking. On the other hand, a phased, prospective approach (described and illustrated next) invites readers to look for the interrelatedness and patterns that are the essence of systems thinking, which as mentioned earlier is a meta-competency for collaborative governance. The four phases provide a frame for the big picture of collaborative governance (seeing the "forest for the trees"), while dealing with the complex variables within each phase allows readers to grapple with the contingent, nonlinear complexity of collaborative processes.[7]

There are several widely used sources for teaching cases in public affairs. The two most prominent are the Electronic Hallway (http://hallway.evans.washington.edu), maintained by the Evans School of Public Affairs at the University of Washington, and the Harvard Kennedy School of Government Cases (www.ksgcase.harvard.edu). Both collections include many cases related to collaborative governance. The Electronic Hallway even has a category titled "Collaboration, Networks, and Partnerships" that includes 60 cases.

Another newer, smaller, and free collection of cases that all deal directly with collaborative governance is called E-PARCC (http://sites.maxwell.syr.edu/parc/eparc). The Program for the Advancement of Research on Conflict and Collaboration at Syracuse University's Maxwell School promotes an annual competition for cases, simulations, and syllabi and publishes the best submissions on their website. As of July 2011, the website offers 13 cases from the 2007–2011 competitions. Our analysis of cases from all three sources found that while there are several multipart cases that have to do with collaborative governance, none follow a specific model of collaboration or induce the kind of prospective reading of the case as we propose here. However, several cases offer material that could be adapted into our four-phase model, as we illustrate next.

Beyond the Success Story: Demonstrating the Phased Case Method

To illustrate how a phased case study approach for teaching collaborative competencies works, we offer a repurposing of an existing, freely available case study, designed for teaching and focused on collaboration. In presenting how this case can be adapted and taught prospectively along the phases of collaborative governance and corresponding competencies, we seek to illustrate that adapting case teaching can be done with readily available, existing teaching cases. At the same time, we offer this example to suggest how future collaborative governance cases might be constructed.

The case study chosen is the "The Health Careers Institute Collaboration" (HCIC) by Jay Kiedrowski and Allison Rojas of the University of Minnesota (2007). The case is part of the collection of collaborative management materials

at E-PARCC and earned an honorable mention in the 2007 Best Teaching Case Competition.[8] HCIC is presented in two parts. Here we show how it can be adapted to use the four-phase framework.[9]

Health Careers Institute Collaboration—Summary

The Health Careers Institute Collaboration case opens with the needs of the distressed Phillips neighborhood in Minneapolis. The challenges facing the neighborhood and concerns of government officials and hospital and corporate employers based in the neighborhood are summarized. The centerpiece of the case is the initiation of the Phillips Partnership, which seeks improvements in the areas of public safety, jobs, housing, and infrastructure. Specific projects of this "informal collaboration" include how a career advancement institute targeting Phillips residents is adapted to the St. Paul–Ramsey County area.

The narrative of Part A concludes with a "problems arise" section and discussion questions about the viability of the career advancement institutes in terms of strategy, leadership, and stakeholder interests. Part B examines the financial difficulties and ultimate shuttering of a second career advancement institute serving the St. Paul–Ramsey County area. The revitalization of the career advancement institute in the Phillips neighborhood leads to revised leadership of the venture and a memorandum of understanding (MOU) that, while never signed, guides the "new" collaboration.

HCIC—Revision into Four Phases

The four phases for case study design are assessment, initiation, deliberation, and implementation (see Table 2). To redraft the material for the assessment phase, the first two sections of Part A are germane. This material covers the meeting where the idea of the collaboration was born. Part A presents a short history and description of current challenges and the Phillips Partnership's focus on public safety, jobs, housing, and infrastructure.

Phase 1: Assessment. After some of the Part A material, the case narrative is paused and students are asked to assess the situation, drawing on the four-phase framework and accompanying competencies shown in Tables 2 and 3. Questions include the following:

A. *What are the issues?* How are they framed, and what else might be relevant?
B. *Who are the stakeholders?* What interests are represented at the genesis meeting and which are absent? In what ways, if any, should the "high-powered" stakeholders include representatives of the neighborhood and small businesses?
C. *What are the incentives to collaborate?* Financial resources become clear only as specific projects of the Phillips Partnership are described. Efficiencies, stronger programs, or new revenues are common considerations in assessing a potential collaboration.

D. *What are the barriers to collaboration?* This element is addressed much later in the case study, when problems arise after some clear successes.

E. *How would you design/structure the collaboration given the issues, stakeholders, incentives and barriers?*

The questions are designed to develop the competences associated with the assessment phase, such as issue analysis and stakeholder identification (see Table 2). We suggest having learners consider several questions about whether to collaborate, contrasted with less formal ways of cooperation or coordination (Winer & Ray, 1994). The case study notes some factors about whether collaboration is a good idea, but additional information on possible stakeholders and their past interactions would be helpful for a full redraft into phases. At this point, the issues and stakeholder assessment should lead to a "go or no-go" decision on collaboration.

Phase 2: Initiation. The next phase, initiation, would take material from the next two sections: "Train to Work" (TTW) and "Phillips Health Careers Institute." TTW describes a new program to hire neighborhood residents with basic job skills to work at one of the hospitals. Phillips Health Careers Institute begins a year later, focusing on an employer-nonprofit pilot of a jobs certificate training program to advance TTW graduates and existing low-level hospital employees into higher-paying positions.

The initiation phase calls upon these competencies: stakeholder engagement, political/community organizing, building social capital, and process design. Thus, for Phase 2, students focus on the organization and expectations of the collaborative process and examine stakeholder relations and dynamics.

A. *What is the structure of the collaboration? How is the structure influencing the operations and opportunities/barriers of the collaboration?* The original case addresses these questions later. Public leaders need to assess early on, at the initiation phase, to help all stakeholders consider sustainability challenges before a crisis occurs.

Next students are called on to compare their initial, more speculative, list of barriers and incentives for collaboration to the reality of the case.

B. *What is the interaction among stakeholders?* Sub-questions include "How do existing relations—positive, negative, or in between—guide the choice of issues, the ability to get resources, and the formal and informal leadership in the collaboration?' and "How are 'newer players' involved and given voice?"

C. *What activities are taking place? How are resources identified and utilized? How is the workload distributed? What are the incentives to collaborate?* For public leaders to better grasp collaboration, it would be a good idea to have more case material addressing meeting dynamics, between-meeting communication and activities, and some information on the hopes and challenges of individual stakeholders as they judge how much time and resources to put into a collaboration compared to their unilateral activities.

D. *What are choices for developing the collaboration?* Most partnerships at the initiation phase depend on discussions of options, complex considerations of seeking and committing resources, and reaching agreement about choosing one direction over another. Here are some potential narrow-bore choices:
   (1) Start one project, and see it through until it yields some success.
   (2) Start many projects, so any one success can keep the group focused and supportive of the larger collaboration.
   (3) Add stakeholders (e.g., for new resources, expertise, community legitimacy, etc.).

Phase 3: Deliberation.

The third phase is where partners engage in a deliberative process of mutual education, defining criteria, and generating options. There is some material in HCIC about how the stakeholders worked together to share their perspectives and needs, how criteria for particular programs were established, and how options were generated and assessed, but more details are needed for a full redrafting consistent with the phases model.

Part A concludes by describing the effort to duplicate the Phillips Health Care Career Development effort in St. Paul–Ramsey County by engaging health care providers, academic institutions, a nonprofit training organization, and a county worker development agency. This new collaboration is the East Metro Health Careers Institute (EMHCI). The paid coordinator for Phillips eventually transferred, full-time, to the EMHCI.

A "problems arise" section notes how the recession following 9/11 reduced openings for medical staff and thus demand for HCI and EMHCI graduates. State government and foundation monies were tighter and the hospitals, which found it easier to recruit employees, had less desire to contribute to the institutes.

The competencies for this phase are group facilitation, team building and group dynamics, listening, consensus building, and interest-based negotiation. The case addresses two important features of the group's dynamics. First, all but one of the original board members had left by 2002. Second,

During the first two years of East Metro HCI's inception, governance and leadership issues began to emerge. At one point, staff from the McKnight Foundation, a significant funder of the program, was asked to mediate a session among collaboration members. McKnight's $200,000 award for the third and fourth years of EMHCI was contingent upon the successful resolution of operations issues that had been identified during the first two years. (Part A, p. 11)

Questions for the deliberation phase:

A. *How did the stakeholders share their interests, expertise and needs with one another? How well (if at all) were differences in power, authority, resources, and culture addressed?*

B. *Was there a designated option generation stage separate from assessing options?*
C. *Were the criteria explicit and inclusive of the goals/concerns of each stakeholder? Was there agreement on the weighting of criteria?*
D. *Is the collaboration meeting its purpose? What level of psychological, organization, and time/money/expertise are stakeholders investing in the effort?*

Phase 4: Implementation.

Part B of the case is "the rest of the story" of the two partnerships. It covers 2004–2007, with the demise of the EMHCI at the end of 2004. Three key foundations thought EMHCI should have been self-sustaining after three years.

The Phillips HCI project was recast by two stakeholders—Project for Pride in Living (PPL) and Minneapolis Community and Technical College—as the Health Careers Partnership (HCP) to better reflect its informal collaborative status, and it was joined with PPL's Train to Work program. PPL became the program manager, fiscal agent, and recruiter; the college provided the certified academic training. PPL took responsibility for fund-raising. This new collaboration was similar to the original Health Careers Institute with business, government, education, and philanthropy stakeholders. A difference was the primary leadership role of a nonprofit agency. Although the partners never signed the MOU, they used it as the foundation of their operations.

Implementation questions come at the end of the case study. It depends if the collaboration has concluded (or was significantly changed, as in this case) or is ongoing. If it is ongoing, there would be iterative deliberation and implementation phases. Our questions call for readers to reflect on the whole case, to consider how variables affected the outcome, and to highlight the competencies for this phase: developing goals and action plans as well as designing governance structures, public engagement, network management, conflict resolution, and performance evaluation.

Questions at this stage:

A. *What was the collaboration's clearest outcome?*
B. *How was implementation of particular projects monitored and assessed? Did all participants have a common view of the degree of success or were there opposing opinions?*
C. *Did the goals of the collaboration change? How did that affect the participation of stakeholders?*
D. *Which barriers to collaboration were addressed effectively? Which ones proved to be continuing challenges?*
E. *What kind of institutional structure was chosen for the partnership?*

This exercise demonstrates that an existing case can be repurposed around the four-phase model of collaborative governance. The original case study and our adaptation share some questions and objectives for teaching, but the adaptation has concentrated on the differences that the four-phase model brings

to presenting the case and teaching about collaboration concepts in a practical manner. Other cases could be adapted in a similar manner and, perhaps more important, future cases on collaborative governance might be written more in this manner.

The discussion questions corresponding with each phase in the case emphasized phase-specific competencies. It should be noted that the meta-competencies or personal qualities (Table 2) underlie decisions and interpretations throughout each phase. There are many options for how to incorporate reflection on these attributes into a phased case teaching method. For example, a discussion specifically on the meta-competencies and how they affect phase-by-phase dynamics could be held at the end of a case session, or this aspect could be the subject of a reflective essay.

Conclusion and Next Steps

We have presented a collaborative governance framework of four phases that can be used in teaching and learning about collaborative governance. Competencies for public leaders and managers to enact collaborative governance were also identified and are shown to correspond with the four phases. The value of using the phases and competencies with case learning is demonstrated by showing how a four-phase approach can work with an existing, readily available case study.

The four-phase framework and list of competencies may be used in a variety of ways by those seeking to develop collaborative governance competencies in students of public affairs. We have shown that the phased approach can be used with existing cases, though this may involve some retrofitting, and possibly some additional case material, on the part of the instructor. The four phases and competencies can also be used as a framework for writing new cases. The framework and example can serve as guides for what details to include, where to pause the narrative, and what kinds of questions focus attention on phase-specific competencies.

Clearly, it is important for public affairs teachers to test the efficacy of learning from phased cases and other pedagogical tools. An important aspect of learning efficacy may be the nature of the learners. Lynn offers a nice review of "sizing up your learners" on many dimensions (1999, pp. 50–59). One hypothesis is that learners with more experience that includes boundary-crossing collaboration would learn better from phased cases. On the other hand, students with little or no work experience may have fewer assumptions (biases) and offer different ways of thinking on how competencies could be applied and adapted when analyzing phased cases.

Learning how to manage and lead effectively in collaborative governance is a core concern for 21st-century public administration. The contingent nature of collaborative processes demands that practitioners apply systems thinking and collaborative skills to an ever-changing set of circumstances. The four-phase

model and related collaborative competencies reviewed here offer a starting point for considering *what* to teach, and a phased case demonstration that better matches the complex systems inherent in collaborative governance arrangements, we argue, is one important component of *how*.

There is more to be learned about the *what*, of course, and other innovative practices regarding the *how*. Hence the need, in the pages of this journal and elsewhere, for an exchange among teachers of collaborative governance regarding their cases, learning objectives, and teaching techniques.

Footnotes

1 "Collaborative public management" (Bingham & O'Leary, 2008; O'Leary & Bingham, 2009), the "new public governance" (Osborne, 2010), or simply "new governance" (Salamon, 2002) are similar terms often used interchangeably with collaborative governance.

2 See also Bingham et al., (2008), Crosby (2010), Crosby & Bryson (2005), O'Leary et al., (2010), Posner (2009), and Salamon (2002).

3 While other terms, such as *capability*, may be preferred (Bingham et al., 2008, p. 274), we use the term *competency* here, consistent with the leadership development literature, to mean the knowledge and skills necessary for effective leadership and management.

4 The University Network for Collaborative Governance (UNCG) consists of 25 programs, centers, or institutes across 26 colleges and universities. They are devoted to "practical scholarship" on local, state, and federal level collaborative work on programs, regulations, and policies. See www.policyconsensus.org/uncg/index.html for more information.

5 See www.turningpointprogram.org/Pages/about.html for more information (accessed May 2, 2012). The initiative involved 23 state and local partners to improve public health and work—via collaboration—in a variety of areas. Five National Excellence collaboratives were created as part of the initiative. One of those collaboratives focused on leadership development, defined as "collaborative leadership for achieving common goals."

6 A "time series case" (Naumes & Naumes, 2006) is similar to what we describe as a phased-case approach. Here we emphasize a specific approach for how to structure and divide a case to align with the four-phase model of collaborative governance.

7 Our argument coheres with case teaching guidance on "decision-forcing" situations where conflicting principles or inconclusive evidence engage students' reasoning (Gomez-Ibanez & Kalt, 1986; Wasserman, 1994; Lynn, 1999),

8 Available at http://sites.maxwell.syr.edu/parc/eparc/cases. We thank the authors for their permission to use their case to demonstrate the approach discussed in this article.

9 A longer exposition with the entire original case study and our modifications side by side would be desirable but is not possible given space limitations. We hope this shorter illustration offers a good starting point for more conversation.

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