100

COLLABORATION

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Combining political and civic leadership brings two contrasting paradigms to mind. Until recent decades, leadership generally and political leadership especially have been considered to be phenomena involving competition of individuals, interests, and institutions. Leadership studies often focused on individual victors in this competition: presidents and prime ministers, other public officials, and party leaders—see, for example, James McGregor Burns (1956, 1970) and Nancy J. Adler (1996). (Of course, scholars—e.g., Robert A. Caro, 2002—still study such people.) More recently, however, the pendulum has shifted to the civic side of leadership—analysis of the relationship of political leaders and the citizenry. Burns was instrumental in this shift with the publication of his book *Leadership* in 1978. He still was interested in prominent political leaders for the most part, but he believed the key to understanding and assessing them was less about their traits and ability to secure and maintain powerful positions and more about their relationship with citizens, or followers. He focused on how leadership both satisfied followers' immediate needs and assisted their moral development. Burns was one of the first scholars to see the political leader's relationship with followers as highly reciprocal.

Analysis of civic leadership in the 1990s through today, however, has moved beyond the notion of reciprocity between citizens and leaders, and now pays more attention to the work of citizen groups and nongovernmental organizations in solving public problems. From this perspective, citizens and government must become partners or collaborators if public problems are to be solved, or major societal opportunities realized (see, for example, David Chrislip and Carl Larson's *Collaborative Leadership* [1994] and Harry Boyte's *Everyday Politics* [2004] and *The Citizen Solution* [2008]).

Overview

Collaboration in its simplest definition means working, or laboring, together. Applying this definition to the world of political leadership, citizen engagement, and public issues, however, evokes a much more complex phenomenon. In this approach, collaboration refers to the joint working (as British scholars would say) of government, business, and community organizations to tackle thorny public challenges such as climate change, homelessness, malaria, or terrorism. Admittedly, the term *collaboration* in the political context can have a much more negative connotation if it is associated with the repugnant World War II–era practice of "collaborating" with Nazi invaders. This usage is fading away, however, though awareness of the dangers of collaboration still makes sense (as will be discussed later in this chapter).

Some scholars place collaboration on a continuum of how organizations relate to each other. In our book *Leadership for the Common Good* (2005), John Bryson and I identify five main possibilities for organizational power sharing (Figure 100.1). At one end of our continuum would be organizations that either don't relate to each other at all or relate mainly as adversaries. The next level of sharing is communication, in which organizations share information; followed by coordination, in which organizations actually engage in some joint activities and share resources beyond information. Next is collaboration, in which organizations commit to work jointly over a sustained period on some shared concern. The final level of sharing would be complete organizational merger. We argue that leaders who hope to help constituents tackle tough societal problems or challenges should focus on the fourth level, where multiple organizations can engage in joint problem solving and institution building while retaining their unique identities and missions. They operate as separate entities but also as members of problem-focused coalitions.

What Is Shared	Mechanism for Sharing			
Authority				Merger
Power or capabilities			Collaboration	
Activities and resources		Coordination		
Information, goodwill, and good intentions (i.e., the absence of conflict)	Communication			
Nothing	None			

Figure 100.1   Continuum of Organizational Sharing

Source: Adapted from Crosby & Bryson, 2005.

Arthur Himmelman (2002, p. 5) emphasizes that public collaboration of this type takes two basic forms: *community betterment* and *community empowerment.* In the first, the problems to be solved and desired outcomes are largely determined by established institutions such as government agencies; representatives of the agencies create processes whereby community leaders and sometimes their constituents provide ideas and support for change. In the second, community leaders and constituents actually set priorities for change and set ground rules for working with outside institutions to accomplish the priorities. As Himmelman points out (p. 7), the second form is more likely to produce sustainable change and increase communities' "capacity for self-determination."

Regardless of which form collaboration takes, analysts nowadays agree that interorganizational collaboration is not an easy solution to tough problems, but rather a very difficult solution to difficult problems. Chris Huxham (2003) even warns leaders against collaborating unless they must. Others agree that collaboration can be time-consuming, frustrating, and messy, but argue that leaders almost always must collaborate if they want to make headway against complex societal problems (see Bryson, Crosby, & Stone, 2006; Crosby & Bryson, 2005).

Leaders who hope to help fellow citizens tackle community and societal problems effectively can find guidance for achieving the best outcomes of collaboration (what Huxham and colleagues call "collaborative advantage") while avoiding the "collaborative inertia" that can result when diverse individuals and organizations struggle to find common ground and agree on implementable sustainable solutions. The Leadership for the Common Good framework (Bryson & Crosby, 1992; Crosby & Bryson, 2005) provides comprehensive conceptual and process tools that foster collaborative advantage and draws on the research of numerous scholars and practitioners.

Leadership for the Common Good Framework

Leadership aimed at collaborative societal problem solving has two starting places—*leadership in context* and *personal leadership*. The first requires an understanding of the political, social, economic, and technological context in which collaborative efforts will occur. The second requires an understanding of oneself and the other people involved in a collaborative effort.

In addition to these two foundational types of leadership, six other types are crucial:

1. *Team leadership*—building productive work groups

2. *Organizational leadership*—building effective and humane organizations and interorganizational networks

3. *Visionary leadership*—creating and communicating shared meaning in formal and informal forums

4. *Political leadership*—making and implementing executive, legislative, and administrative decisions in formal and informal arenas

5. *Ethical leadership*—sanctioning conduct and adjudicating disputes in formal and informal courts

6. *Policy entrepreneurship*—coordinating leadership tasks during a policy change cycle

Leadership in Context

Collaborative leaders who hope to tackle a problem such as climate change at the global level or homelessness at the local level should analyze the political, social, natural, economic, and technological terrain at the outset to determine constraints and potentials of the effort. Global analysis will require a more extensive effort; a group seeking to fight climate change across national borders will

need to comprehend a myriad of political systems and international arrangements such as the Kyoto Protocol. Regardless, the place to start is consideration of what is in place and directions of change.

Numerous researchers have emphasized that collaborations tend to form in turbulent environments, in which individuals and organizations feel threatened by, or uncertain about, shifts in taken-for-granted systems. Leaders have an opportunity in such environments to promote collaboration as a means of reducing uncertainty, reestablishing stability, allying against competitors, and pooling capabilities to resolve problems and implement solutions (Bryson et al., 2006; Emery & Trist, 1965). Before proceeding, however, they will be wise to consider whether various systems are aligning in such a way as to produce a window of opportunity for policy change (Kingdon, 1995). In the case of global climate change, scientific studies of the natural environment in the last years of the 20th century detected alarming deterioration in wildlife habitats, rising sea levels, and increases in destructive weather. Some progress had been made in achieving international agreements to reduce emissions of the gases that warm the atmosphere and cause climate change. Yet, in the early years of the 21st century, some governments, notably the United States and China, were unwilling to bind themselves to stiff emission caps. By 2008, the political and economic environment had changed. The United States elected a new president who was far more committed to fighting climate change, and a global recession provided impetus for governments to invest in major job creation efforts. Extensive networks of relationships among scientists, nonprofit advocates, journalists, alternative energy entrepreneurs, and politicians had been formed. Technological developments made alternative energies (such as wind) more feasible. A window of opportunity was opening wide for governments, businesses, and nonprofits to undertake major collaborative initiatives to achieve a "green" global economy.

Two of these changes are worth highlighting—the formation of networks and technological developments. The existence of extensive prior relationships among groups that might participate in a collaborative change initiative is an important contributor to a collaboration's success (Bryson et al., 2006), and new technological developments may provide breakthrough solutions and foster excitement about potential progress (Bryson, Crosby, & Stone, 2008).

Leadership in context also begins the work of identifying the right sponsors and an array of champions who can support a change effort (Crosby & Bryson, 2005). Sponsors are typically visible people with authority, who can help legitimize the effort and provide needed connections and other resources. They may or may not be deeply involved in forming or operating the collaboration. Champions are those who work tirelessly to organize the collaboration and oversee its operation. They need very strong relationship-building skills and the ability to persist against daunting odds.

A few more elements of leadership in context bear mentioning—attention to culture, the need for creative destruction, and recognition that favorable changes today may become constraining forces in the future. In the simplest terms, *culture* refers to habitual, taken-for-granted ways of doing things, as manifest in ritual and artifacts (Hall, 1981). Edgar Schein (2004) has highlighted leaders' need to understand organizational cultures; the massive Global Leadership and Organizational Behavior Effectiveness (GLOBE) study has highlighted the influence of national culture on preferred leadership styles (House, Hanges, Javidian, Dorfman, & Gupta, 2004). Leaders of collaborative efforts must recognize that different organizational, community, and national cultures can pose barriers to collaboration that are hard to overcome, precisely because the inhabitants of a particular culture often are hardly aware of its embedded assumptions about right and wrong, time, space, and the nature of human life (Schein, 2004).

Even as leaders survey the terrain for partners that might participate in building a coalition for change, they should also be prepared for "creative destruction" of existing coalitions and networks that are contributing to a public problem. These "shared-power arrangements" (Crosby & Bryson, 2005) were probably created to deal with some other problem or achieve some other collaborative advantage. They may simply have outlived their usefulness, as in a regulatory network geared to old technology, but at worst, they are doing more harm than good—for example, a status quo-oriented network comprising owners of coal-fired power plants, members of a state legislature, and businesses that lobby against emission controls. These networks should be factored into leaders' assessments of the difficulty of the change effort.

Finally, leaders must recognize that a force or system that opens a window of opportunity for successful collaboration today can close that window later (Bryson et al., 2006). The same political system that brings "green" politicians to office this year can select "jobs first" politicians to replace them a few years hence.

Personal Leadership

Personal readiness to collaborate on public problem solving across organizational lines flows from two main sources:

1. Deep or passionate interest in either the problem to be solved or in the well-being of a group or community affected by the problem

2. Openness and preparation for working with diverse groups

Because leaders will need to convince many other people of the importance of the effort to tackle a problem such as homelessness, they must communicate an authentic, deep-seated conviction that the problem is important

and tractable given collaborative effort. In the case of homelessness, that conviction may come from firsthand experience serving homeless people, from being homeless oneself, or from a commitment to serving a particular community coupled with the realization that homelessness contributes to many community ills (see an account of the campaign to end homelessness in Hennepin County, Minnesota, by Crosby & Bryson, 2007).

Such conviction, however, is only part of the readiness to collaborate. Many studies of successful collaboration point to the need for leaders with the courage to reach across boundaries, establish relationships with diverse groups, and persist in bridge building over the long haul (Hudson, Hardy, Henwood, & Wistow, 1999; Kastan, 2000; Mattessich, Murray-Close, & Monsey, 2001; Merrill-Sands & Sheridan, 1996). The work of bringing diverse individuals and organizations together to solve shared problems requires a high degree of what some authors have called cognitive, emotional, and behavioral complexity (Crosby & Bryson, 2005; Hooijberg, Hunt, & Dodge, 1997). *Cognitive complexity* refers to the ability to hold diverse perspectives in one's mind, to be able to see how pieces of a system fit together, to detect anomalies, and to balance stability and change (Crosby & Bryson, 2005; Mumford, Friedrich, Caughron, & Byrne, 2007). Bob Hudson and colleagues (1999, p. 251) talk about the need for leaders "skilled at mapping and developing policy networks." *Emotional complexity* (also called social and emotional intelligence) may be even more important than cognitive complexity in bringing diverse individuals and groups together to tackle common problems. Emotionally complex leaders have the capacity to identify their own and others' emotions, master their own emotional impulses, and respond appropriately to others' emotional responses (Goleman, Boyatzis, & McKee, 2002). Collaboration among representatives of different interests and people with vastly unequal power bases is likely to generate anger and suspicion over suspected hidden agendas or turf incursions. Or, consideration of different ways of defining the problem or of potential solutions may cause resentment among less powerful participants as they are reminded of previous ill-treatment by the powerful. Participants may become defensive if other collaboration participants don't seem to be taking their ideas seriously. Emotional intelligence allows leaders to anticipate the arousal of such emotions and help group members manage them. *Behavioral complexity* refers to the ability to apply cognitive and emotional intelligence appropriately in a particular situation (Crosby & Bryson, 2005; Hooijberg & Schneider, 2001).

Some degree of cognitive, emotional, and behavioral complexity results from a person's genetic makeup and early development. Much of it can be learned, however, through formal and informal educational experiences. Daniel Goleman, Richard Boyatzis, and Annie McKee have especially helpful ideas for assessing and developing emotional complexity. Working or volunteering in different organizational cultures may be helpful, as is travel to different communities, regions, and countries.

Team Leadership

To develop a collaboration, leaders assemble groups such as steering committees, working groups, task forces, or a Friday morning breakfast club. To build productive work groups that include people from diverse backgrounds, leaders must pay careful attention to recruitment, communication, empowerment, and leadership development of team members. This work requires that they draw on the understanding of self and others described under personal leadership and use it to deal with predictable tensions of collaboration around purpose, power, membership, and structure (Huxham & Vangen, 2005).

Effective recruitment requires thinking about the needed expertise and connections that need to be represented on the team. In the case of an initiative to combat climate change, a wise leader is likely to want someone with relevant scientific expertise and ties to prominent authorities on climate change. Wise leaders may also seek experts in consumer habits, public relations, environmental laws, and the political process and may want to be sure that at least some team members have skills that compensate for leaders' own areas of weakness—perhaps they're strong on emotional intelligence, but a bit weak on systems thinking (an element of cognitive complexity). While recruiting people who have needed expertise and connections, however, wise leaders still will seek evidence that, despite their diversity, they can agree generally on the importance of fighting human-induced global warming. Stakeholder analysis is a useful tool for deciding who should be a part of a team to tackle a complex problem such as this (Crosby & Bryson, 2005).

Once a team or working group is assembled, wise leaders will ensure that communication is constant and open to build trust (Kouzes & Posner, 2007). They will foster dialogue and nonviolent communication (Rosenberg, 2005; Senge, 2004; Senge, Kleiner, Roberts, Ross, & Smith, 1994) that privileges listening and empathy over competitive championing of ideas and a rush to solutions. They will set aside time and use inclusive processes that help team members develop a sense of shared purpose or mission and a plan of action. Wise leaders will attempt to equalize power through techniques such as "affinity diagrams" (also called "snow cards" [Crosby & Bryson, 2005]), nametags highlighting everyone's first name, round tables, and small group discussion. They will recognize that teams go through stages of development and that formal conflict resolution techniques, such as mediation, may be needed to help a group move from intense conflict to a more productive mode. Mediation is a process in which a "third party neutral" helps group members understand each other's interests, values, and emotional responses and create an agreement that resolves or manages the conflict (Gray, 2008).

Effective team leadership also helps the team develop its own identity (for example, through rituals and symbols) that can offset members' allegiance to their home organizations. Leaders will take care to ensure that new team members are brought up to speed on the team's previous work and included in the rituals. Finally, effective leaders may foster shared leadership in the group by parceling out leadership tasks such as meeting facilitation or crafting a vision statement. They may organize leadership training for group members so they all become skilled facilitators and project organizers.

Organizational Leadership

Organizational leadership becomes extremely important in collaborations once partners agree that informal planning committees or working groups are insufficient to accomplish their joint aims. More formal arrangements can provide more financial stability, legitimacy, and continuity—usually necessary to undertake long-term campaigns to solve complex public problems. In establishing and maintaining more formal interorganizational structures, the main tasks of organizational leadership will be:

- paying attention to organizational purpose and design,
- being adept at dealing with internal and external change, and
- building inclusive community inside and outside the organization or network.

In paying attention to purpose and design, collaboration leaders work with participating individuals and organizations to craft mission statements and develop structures and systems to implement the mission. As noted in the section on team leadership, partners in collaborations often have trouble agreeing on the purpose of the collaboration. Huxham's advice applies equally here: Partners do not have to agree on a precise mission statement, at least initially, if they can agree on some general sense of direction and next steps. Simply agreeing on a name for the collaboration may be enough if the name can capture the essence of the group's purpose. For example, the "Heading Home Coalition" might be an easily agreed-upon name for a collaborative initiative to fight homelessness.

Several organizational configurations are possible for interorganizational collaborations. A new, separate organization or reliance on a lead member organization is common (e.g., see Provan & Milward [1995]). Each of these configurations has advantages and disadvantages. Formation of a separate organization lessens the chance that the collaboration will be caught up in a member organization's internal politics or identified too strongly with the agendas of member organizations. Basing the collaboration in one of the member organizations—whether a government agency, a nonprofit service provider, business association, or neighborhood council—gives the collaboration more access to the resources of the host organization. The downside is that the collaboration may become too dependent on that organization for staffing and funding (Stone, 2004). Other coalition members also may conclude that the host organization has too much power over the collaboration's work. Whatever configuration is chosen, leaders need to be sure that governance arrangements are clear and operate reliably. Such arrangements clarify decision-making authority and establish accountability for outcomes and responsible use of resources (Williams & Sullivan, 2007).

An important governance area is membership. Collaboration leaders will need to help collaborating partners develop at least rough agreement on membership qualifications and expectations (Huxham & Vangen, 2005). What are the requirements of membership—financial contributions, meeting participation, endorsements? Are informal members allowed, or must all members formally sign up? These can be hashed out in planning sessions, but may never be entirely settled. Some flexibility around membership requirements may be needed to keep organizations involved that either can't contribute at the level of other members or do not want to be too publicly associated with the collaboration. Hudson et al. (1999) offer helpful advice for assessing organizations' capacity to be effective collaboration members.

A crucial part of the collaboration's design is the leadership role of a coordinator or executive director (Huxham, 2003). These people typically have responsibility for arranging meetings, overseeing budgets and fundraising, and monitoring progress on collaboration goals. They have an array of "soft" tactics such as persuasion at their disposal, but may also need to use "hard" tactics such as agenda control or pushing noncooperators out of the coalition (Huxham & Vangen, 2005). Coordinators ideally will be skilled in relationship building—keeping partners "in the loop," building trust, and monitoring partners' satisfaction with the collaboration.

Collaboration leaders should anticipate that, as time goes on, the collaboration will have to cope with internal and external changes. The membership of the collaboration may change, or the problem that prompted the collaboration may change. For example, after an organization concerned with climate change makes headway against CO_2 emissions, it may decide to shift its focus to methane, another important contributor to global warming. To be proactive in dealing with change, organizational leaders can employ strategic planning methods such as "action-oriented strategy mapping" (Bryson et al. 2004) or "future search" (Weisbord & Janoff, 1995).

Establishing an inclusive community within the collaboration fosters buy-in by members and higher likelihood of effective problem solving and implementation of collaboration projects. Scholars (Carlile, 2002, 2004; Feldman, Khademian, Ingram, & Schneider, 2006) have pointed to the effectiveness of boundary experiences, boundary groups, and boundary objects in helping diverse groups work together effectively.

Marcia S. Feldman and Anne M. Khademian define boundary experiences as "shared or joint activities that create a sense of community and an ability to transcend boundaries among participants" (Feldman & Khademian, 2007; Feldman et al., 2006, p. 94). When collaboration members participate in a well-designed future search or strategy mapping session, they are engaged in a boundary experience that gives them a chance to contribute their ideas, develop understanding of each other's perspectives, and build shared purpose and commitment. During and after these sessions, they produce boundary objects in the form of timelines, causal maps, and reports that can capture new joint thinking and be a touchstone for carrying out the collaboration's work. Another important type of boundary experience that can foster cohesion among collaboration members is an educational experience designed to provide all members with leadership skills or a common pool of knowledge about the problem area that concerns them (Bryson et al., 2006; Chrislip, 2002).

Boundary group is another label for the inclusive teams described under team leadership. New boundary groups may emerge from planning sessions conducted as part of the collaboration's development of a more formal organizational structure. Developing multiple boundary groups within a collaboration provides many opportunities for numerous people to provide leadership. At the same time, a proliferation of such groups may pose considerable coordination challenges.

Building relationships with individuals and organizations outside the formal collaboration can happen through consultations and surveys; press releases, blogs, and conversations with journalists; and formal boundary experiences such as town hall meetings. Some groups in the external community may be supporters of the coalition but be unwilling or unable to formally join; others may be neutral and thus potential supporters; still others may be opponents, but engaging them may also be helpful as a way of holding up the collaboration's ideas and methods to tough scrutiny and refining them into more robust versions.

Visionary Leadership

The creation and communication of shared meaning about a public problem and potential solutions is crucial to achieving the new policies, projects, and modes of individual and organizational behavior that will be needed to produce sustainable remedies for the problem. If campaigners against human-induced global warming cannot come up with messages that help collaboration members and constituencies outside the collaboration grasp the urgency of the problem and the possibility of warding off disaster, they are unlikely to achieve their goals.

Visionary leadership includes three main tasks: interpreting a public need or opportunity and giving direction about how to respond to it, offering compelling visions of the future, and adeptly designing and using formal and informal forums (Crosby & Bryson, 2005). In the beginning of a change effort, leaders may have to spend a lot of time

convincing people outside the collaboration that the need or opportunity is urgent. In the case of climate change, environmental activists have had to publicize the growing consensus among scientific researchers that human consumption of fossil fuels is causing global warming and harmful climate changes. A widespread sense of urgency, however, will not be enough if leaders and their organizations cannot make a plausible case that some course of action can remedy the problem or take advantage of an opportunity before time runs out. Helping fellow citizens understand causes of the problem or opportunity may reveal more clearly some avenues for productive action. Leaders may also want to highlight one or more solutions that some advocates are offering. They must be cautious, though, to avoid a heedless rush to solutions, a tendency that Paul Nutt (2002) warns against. This sometimes can be tough because collaboration members may be attached to a preferred solution—for example, a carbon tax in the case of climate change.

Visionary leaders need the ability to offer interpretations, or problem frames, that can galvanize the diverse groups in a collaboration or at least help them feel their interests will be served by a change effort. Visionary leaders can analyze the frames that groups tend to apply to the public problem that concerns them. In the case of homelessness, a common frame is "individual responsibility," implying that the condition of homeless people is largely a result of their personal choices. A contrasting "collective responsibility" frame sees people being pushed out of their homes or kept from finding affordable housing because of the failures of the housing market or of government programs. Those who adopt this frame argue that the community as a whole should try to remedy these failures. Instead of choosing one of the typical frames, visionary leaders can offer alternative or more comprehensive frames that have general appeal. For example, they can use "efficiency" arguments (Stone, 2002) by pointing out that providing services for homeless people costs more than housing them or keeping them from becoming homeless. Leaders can evoke a "human family" frame by providing images of the diverse types of homeless people.

A compelling vision of the future based on a unifying problem frame can help collaborating partners stay inspired over time and help win adherents beyond the active partners. This vision may present competing projections that contrast a future in which a problem has been allowed to worsen (think about the effects of global warming) with a future in which citizens and diverse organizations have acted to remedy the problem.

Formal and informal forums are the settings for creating and communicating shared understanding of a public problem and potential solutions. These may be face-to-face or virtual meetings in which participants consider the causes of problems, advocate and evaluate solutions, and develop proposals that can be submitted to decision-making arenas. Visionary leaders think carefully about timing of forums, who should attend, problem-solving and conflict resolution methods, and products. The methods of inclusive problem

solving mentioned previously—such as future search and concept mapping—can also be used in these forums that involve collaboration members, existing and potential supporters, and sometimes opponents. Inviting opponents to participate (as long as they are not likely to dominate or sabotage the problem-solving process) can help improve proposals that emerge from the forums. Conflict in these forums is to be expected and can be a creative force when diverse perspectives are presented candidly and respectfully, and facilitators help participants find the things on which they can agree (Gerencser et al., 2008).

Visionary leaders think carefully about how to involve sponsors and other powerful decision makers in these forums. Input from these people is often crucial to helping proposals pass hurdles once they are submitted to a legislature, city council, or nonprofit board of directors. Bringing someone such as Al Gore or a top environmental protection official into a session on power plant emissions could intimidate other participants, however, so visionary leaders may invite these guests to attend meetings after draft proposals have already been formulated. The power-balancing techniques mentioned earlier can be helpful as well.

Political Leadership

As collaboration leaders and other participants work to persuade powerful decision makers to adopt proposals that emerged from forums, they will need to bargain and negotiate to win at least a majority of the decision makers over, and they will need to sustain and possibly expand the coalition that produced the proposals. If they succeed in having their proposals adopted, they will need to ensure that implementation decisions are in keeping with the intent of the proposal. To carry out these tasks successfully, political leaders must be skilled designers and users of formal and informal arenas, the settings in which legislative, executive, and administrative decisions are made.

Bargaining and negotiating are important aspects of political leadership because, in decision-making arenas such as legislatures, municipal councils, business, or nonprofit boards, the policies or projects advocated by a collaboration will have to compete with the policies and projects being pushed by other groups. Those collaboration sponsors who are part of an arena are likely to have to modify the original proposal to gain the support of other decision makers and their constituencies. These sponsors and other collaboration leaders will be in the delicate position of persuading collaboration members to accept modifications in exchange for assurance that some part of the proposal will be adopted. The challenge is maintaining the core of the proposal even as some original elements are lost and new elements are added. For example, a collaboration combating global warming may have produced a "cap-and-trade" proposal to reduce CO_2 emissions for all power plants by capping the amount that any one plant may emit and permitting those who exceed the limit to buy additional allotments from those who do not reach the limit. Such a policy may need to exempt very small plants to gain the support of a legislator with several such plants in her district. Leaders can keep collaboration members on board by reminding them that gaining a limited cap-and-trade system is important and can lay the foundation for a more inclusive system.

Another technique for keeping a collaboration together as political battles are waged is celebrating victories along the way (Crosby & Bryson, 2005). Even if a proposal goes down to defeat, the collaboration can use resulting lessons to regroup for the next attempt.

Success may be an even greater threat to a collaboration's existence. If advocates are successful in getting their cap-and-trade system approved by the legislature, they may be tempted to move on to their next priority and simply let the appropriate government agencies handle the new system's implementation. However, implementers have many means of delaying or mishandling new systems. An important responsibility of political leaders is keeping their collaboration members involved in either implementing the new program or monitoring outcomes. A very effective way to ensure that implementers are favorably disposed toward a new policy or project is to involve them in designing it in the first place.

To wisely design and use arenas, political leaders focus on power levers: Who has gatekeeping power over whether proposals are even considered in the arena? What committees will have authority over a proposal? Who sets the agenda for a meeting of the whole or of a committee? What voting procedures will be used? What lobbying methods are most effective? What form do proposals have to take? How does the budgeting process work? Sometimes, political leaders realize they must work to place new people in decision-making roles to have a chance at obtaining the outcomes they want. Thus, "green" coalitions become very involved in electoral politics in the hope of putting their own candidates in office.

Ethical Leadership

Once new policies and programs are implemented, collaboration leaders need to be sure that these policies and programs are upheld in formal and informal courts. If police officers are still jailing intoxicated homeless persons despite a new law that requires these people be taken to a special shelter, collaboration leaders need to work with police and court officers to bring practice into accord with the new law. If power plant operators are trying to manipulate a new cap-and-trade system, leaders may need to fight them in formal courts or sway the informal court of public opinion against them. This work of defending new or needed policies and programs in court is labeled *ethical leadership* because it involves educating others about the ethical principles, laws, and norms that underlie the policies or programs and provide the basis for judging the conduct of individuals and organizations, and penalizing them if necessary.

Preparing to defend new policies and programs in formal courts can be money and time intensive; special expertise

may be required. Some collaboration members may have the needed expertise and thus take the lead on initiating or responding to court challenges. Regardless, ethical leadership ensures that policies and programs embody ethical principles and are legally sound even as they are being proposed in arenas. Collaborations sometimes conclude that court action can substitute for winning in arenas—for example when good laws are being implemented in a way that undermines the core principles that inspired them, or when arenas and the system for choosing their members are thoroughly resistant to needed change.

To design and use formal and informal courts wisely, ethical leaders need an awareness of options for dispute resolution, characteristics of judges and mediators, formal court procedures, jurisdiction, and enforcement systems. Collaboration leaders often need to operate in formal and informal courts at once. For example, the collaboration or a member organization may sue a public agency that isn't enforcing emission controls, but the collaboration may also try to mobilize the polluters' customers to boycott polluters or depict them as shameful degraders of the environment.

Policy Entrepreneurship

This is the process of combining all of the leadership tasks noted earlier to move through a policy change cycle. Scholars have sometimes described steps or stages in the process of policy change. The Leadership for the Common Good framework offers a cyclical model, consisting of seven interconnected phases (Figure 100.2). Policy entrepreneurs may become involved in a particular policy change at any phase, but the cycle can be most easily understood by starting with the initial agreement phase and proceeding through continuation, modification, or termination. The description of the phases in sequence is as follows:

1. *Initial agreement* to do something about a public problem, challenge, or opportunity

2. *Problem formulation*, including exploration of the causes of the problem or opportunity and ways to frame it

3. *Search for solutions*, including consideration of a broad range of options and development of consensus around preferred solutions

4. *Policy or plan formulation* that incorporates preferred solutions into winning proposals for new policies, programs, and projects

5. *Policy review and adoption* in formal and informal arenas

6. *Implementation and evaluation* of adopted policies in relevant systems

7. *Continuation, modification, or termination* of implemented policies after a period when they have had a chance to produce desired changes
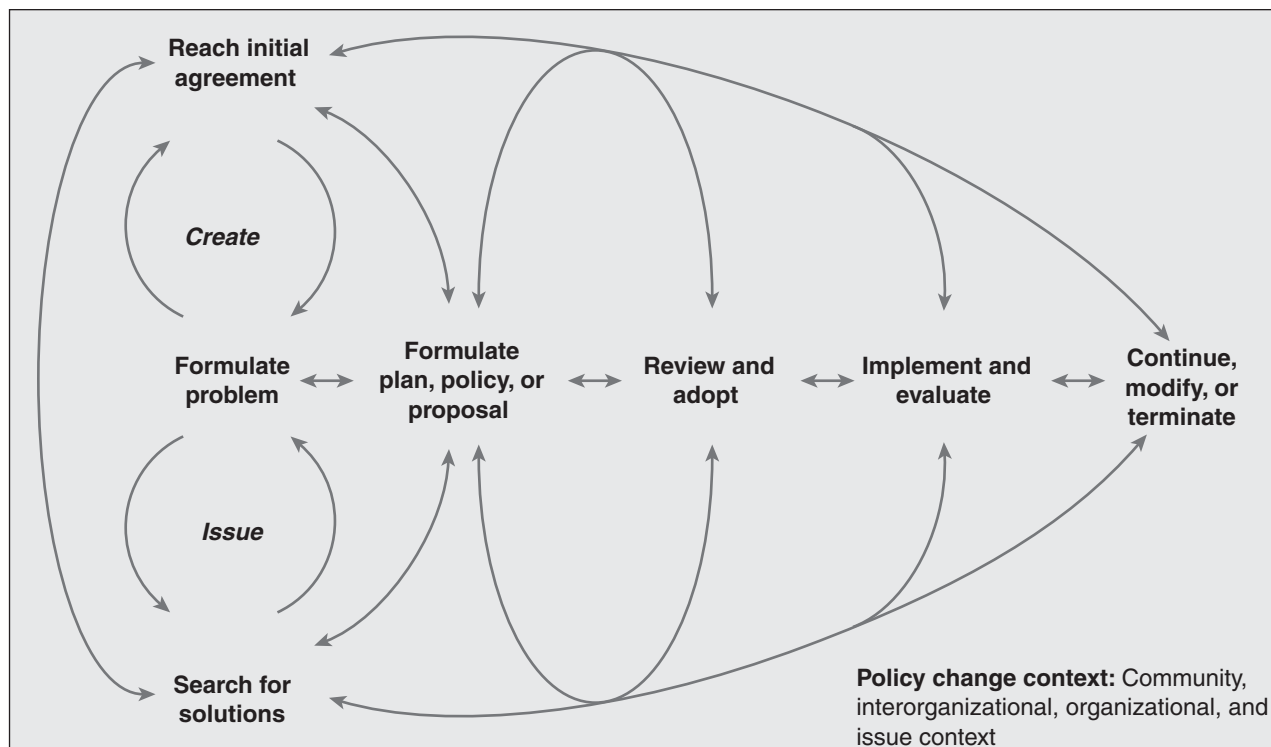

Figure 100.2   Policy Change Cycle

Source: Adapted from Crosby & Bryson, 2005.

Leadership in context and personal, team, and organizational leadership are important throughout these phases. Visionary leadership is most important in the first three phases when participants are debating different views of problems, opportunities and solutions, and whether change is desirable and possible. Political leadership is especially vital in the next three phases, and ethical leadership in the final two phases. Visionary leadership is likely to be important in the final phase if implemented policies need extensive revision or termination. A collaboration that has been committed to achieving and implementing a new policy regime will need leaders' help in accepting that their favored programs and projects may have begun causing more problems than benefits or that another problem area is more deserving of the resources devoted to the new regime. For example, the time may come when the campaign to end homelessness is so successful that the supportive coalition needs to turn its energies to another challenge, such as producing housing that has a minimal carbon footprint.

Viewing policy change as a cyclical process of interconnected phases can help collaborating partners adopt a long-term perspective, identify where they are in the process, and understand how shortcomings in one phase may lead to failure in the next. For example, leaders can use awareness of the cycle to help collaborating partners who are stymied at the adoption phase think about how to alter their strategies in arenas. Understanding the cycle also can prompt the partners to revisit previous phases to get more stakeholder groups and decision makers on board or to prepare for a time when the decision makers change.

Finally, a systems view of collaborative change efforts and the multiple leadership tasks required for successful navigation of policy change highlights the need for many people to exercise different types of leadership. No individual leader, or even lead organization within a collaboration, will be able to handle all the leadership tasks; numerous sponsors and champions will be needed throughout the collaboration and at many organizational levels (Bryson et al., 2006).

Future Directions

The need for collaboration among government, business, nonprofit, and grassroots organizations to tackle complex public problems can be expected to continue as global interdependency increases in the coming decades. Scholarly and popular attention to interorganizational collaboration has moved from often celebratory and uncritical promotion of the process in the 1990s to increasingly more sober assessments in the 21st century. The potential for collaboration across geographic and cultural divides will deserve even more attention as communications technology continues to improve and expand in the far reaches of the world and the fate of people everywhere becomes more intertwined.

For now, books such as Chris Huxham and Siv Vangen's book *Managing to Collaborate*, Barbara Gray's chapter "Intervening to Improve Interorganizational Partnerships," and Barbara Crosby and John Bryson's *Leadership for the Common Good* are research-based sources of guidance about how to achieve collaborative advantage and avoid succumbing to collaborative inertia. Also helpful are guides focusing on specific types of collaboration—for example David Chrislip's *The Collaborative Leadership Fieldbook*, dealing with collaborations in communities of place or affiliation, or the Paul Williams and Helen Sullivan's *Learning to Collaborate*, dealing with a specific public issue. *Megacommunities* (Gerencser, Van Lee, Napolitano, & Kelly, 2008) describes ways in which global networks are tackling problems that spill across national boundaries. Kaifeng Yang and Erik Bergrud's edited volume *Civic Engagement in a Network Society* (2008) offers guidance for leaders seeking to deploy the power of the Internet in collaborative public problem solving.

Summary

Increasingly, scholars and practitioners are recognizing that diverse organizations must collaborate to ward off disastrous societal outcomes and achieve widespread societal benefits. Collaboration includes information sharing and joint activities among partner organizations, but it adds the commitment of working together over time to solve complex problems or take advantage of major opportunities. Collaboration isn't a simple process, however, and leaders in and of collaborations will need even greater amounts of cognitive, emotional, and behavioral complexity than do leaders within a single group or organization.

The Leadership for the Common Good framework highlights the multiple tasks of leadership in collaborations that bring together diverse groups and organizations concerned about such problems as homelessness, climate change, and poverty or opportunities such as nanotechnology. This framework emphasizes leadership in context and personal leadership as starting places for effective collaborations. Team, organizational, visionary, political, and ethical leadership are also included. Finally, the framework facilitates the policy entrepreneurship of collaboration leaders by elaborating a policy change process and relating it the leadership tasks. Many practical guides and considerable scholarly research augment the framework.

Those who seek to foster interorganizational collaboration for the common good can access a rich array of helpful methods and tools, as well as insights about collaboration dynamics. What they will find harder to access is the needed patience, persistence, courage, faith, and good will required of themselves and many others to reap the great benefits of collaboration.

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