

GUIDE TO MANAGING
COLLABORATIVE
PROCESSES

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EDITORIAL NOTE:

This CASA Guide to Managing Collaborative Processes will forever be a work in progress. Lessons Learned and Feedback Received will continue to shape and enhance the content of this compendium, while practitioners and participants alike may add to its margins. Enjoy!

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“An implicit benefit of the consensus process is that mutual understanding and respect develops as people search together for the best solutions. Participants work together to get tough on the problem, rather than getting tough with each other.”

- from the Consensus Decision-Making Toolkit A Martha Kostuch Legacy

Martha Kostuch was a nationally recognized environmental activist who made a significant contribution to our understanding of consensus decision-making and how it can lead to innovative and sustainable solutions.

// Contents

Our Mission:	5	Table 2: PMs Roles / Challenges	18
Our Vision for Alberta:	5	Project Champion Roles and Responsibilities	19
EXECUTIVE SUMMARY	6	THE CASA TEAM MEMBERS	20
SETTING THE CONTEXT	7	<i>A commitment to work collaboratively involves:</i>	20
Principles For Collaborative Decision Making	8	THE CO-CHAIRS	21
WHO IS THIS GUIDE FOR?	9	<i>Co-chairs roles and responsibilities:</i>	21
When And How Does Casa Become Involved In Resolving Issues?	9	SECTION 2:	
Determining Whether An Issue Is Suitable For A Collaborative Process	9	THE COLLABORATIVE DECISION-MAKING PROCESS	22
SECTION 1:		Figure 3: CASA Collaborative Decision-Making Process Steps	23
BUILDING A PLATFORM FOR COLLABORATION	10	Table 3: CASA Collaborative Decision-Making Process Steps.	24
UNDERSTANDING NEGOTIATION	11	Figure 4: Relationship of CASA Collaborative Decision-Making Process Steps to CAMS	25
Positional Negotiation	11	STEP 1: PRELIMINARY ISSUE ASSESSMENT – SCREEN	26
Interest-Based Negotiation	11	<i>Issue Identification template</i>	27
BELOW THE SURFACE:		STEP 2: DEVELOP THE MANDATE - SCOPE	30
UNDERSTANDING INTERESTS	12	<i>Analysis of Readiness to Take Action</i>	32
Different Types of Interests	13	STEP 3: CONVENING THE TEAM	34
Figure 1: Interest-based negotiation	13	STEP 4: ISSUES, INFORMATION AND INTERESTS	37
Figure 2: Relationship between positions and interests	14	STEP 5: EXPLORING ALTERNATIVES	40
NEGOTIATING PUBLIC POLICY ISSUES	15	<i>Figure 5: SMART Standards</i>	42
Table 1: Comparison between Positional and Interest-Based Negotiation	15	STEP 6: NEGOTIATING A FINAL AGREEMENT	44
THE PROJECT TEAM	16	STEP 7: RATIFICATION AND APPROVAL	46
CASA PROJECT MANAGER	16	STEP 8: CLOSURE, CELEBRATION, REFLECTION	47
Project Manager roles and responsibilities	16	IN CLOSING	48
Project Manager's role in overcoming challenges	18	APPENDIX A	48
PROJECT CHAMPION	18	Stakeholder Engagement Plan Process	49
		REFERENCES	50

OUR MISSION

The Clean Air Strategic Alliance is a multi-stakeholder alliance composed of representatives selected by industry, government and non-government organizations to provide strategies to assess and improve air quality for Albertans, using a collaborative consensus process.

OUR VISION FOR ALBERTA

The air will have no adverse odour, taste, or visual impact and have no measurable short- or long-term adverse effects on people, animals, or the environment.

// Executive Summary

This Guide to Managing Collaborative Processes supplements several earlier works developed by CASA stakeholders:

- *CAMS: CASA's Decision-making Process.*
- *the Consensus Decision-making Toolkit
A Martha Kostuch Legacy.*
- *Beyond Consultation: Making Consensus Decisions.*

Each of these documents has helped CASA stakeholders improve their capacity to work together and arrive at decisions through collaboration. This guide builds on that work, applying interest-based negotiation theory and practice to CASA's tested and successful approach to reaching agreement.

It has been said that successful collaboration is as much art as science, and many of us have had the experience of working on teams when the group seemed to “gel”, experiencing growing trust and a commitment to work together. While it is certainly true that collaboration is as much about the orientation of the people involved as it is process, the work is made easier if we accept that there is much we can learn from other practitioners and processes. More difficult discussions in particular will benefit from a roadmap that helps teams work through challenging issues, before trust is developed.

The guide will be equally useful to both project managers and participants, providing specific advice that will help the reader lead, or work within, multi-stakeholder teams. For project managers the guide describes specific activities and techniques that can be used to encourage an interest-based (vs. positional) dialogue. These are presented within a step-wise decision-making process that moves teams from the convening stage through to ratification of a completed

agreement. Similarly, participants can draw on suggestions that will help them effectively present their interests, work with other stakeholder groups and develop solutions that meet their needs.

The guide is just that; it provides guidance. It is not a manual. It can't be applied without regard for the unique circumstances that develop in each multi-stakeholder process. Project managers will find that most collaborative processes require constant reassessment and they must use their judgment to decide how best to help a group make progress. Still, many of the same recurring challenges are seen in multi-stakeholder processes. Where possible, the guide provides examples of these common challenges and suggests ways to overcome them. The list of challenges is not comprehensive, but it does include typical obstacles that many readers will find familiar.

While the guide may be useful for training project managers and participants it was not prepared for that purpose. In future editions it may be cross-referenced to a training workbook, so that students and participants can relate experiential learning to the various stages of a multi-stakeholder collaborative process. Meanwhile, we hope that interested stakeholders use the guide to further their interests and to build better, more effective teams.

// Setting the Context

Effective management of Alberta's air quality requires a broad range of stakeholders to work together to ensure that policy is responsive to societal needs. Needs related to economic prosperity, a clean environment and thriving communities must be accommodated and integrated in order to provide the kind of sustainable future Albertans expect. This is a simple and unassailable idea, but one that is very challenging to achieve in practice. Each of us may place greater or lesser importance on economic or environmental priorities, but we understand the value of a common approach to the planning, management and regulation of air quality.

The Clean Air Strategic Alliance (CASA) has a long and successful history of building collaborative solutions to important air quality issues, developing policy recommendations for the Government of Alberta's consideration. We provide a forum for our members to explore each other's interests, propose regulatory options, test and

evaluate new approaches and secure a joint commitment to implementation. Most importantly, we reach agreement through consensus.

At CASA, reaching consensus has become the norm rather than exception and our individual stakeholders believe that their investment of time and energy will be rewarded through new, innovative agreements. There is an expectation that CASA teams will be run effectively, providing a forum for informed respectful discussion, consistent with the following guiding principles for collaborative consensus building.

CASA project teams typically require a diverse group of stakeholders to work collaboratively, developing consensus agreements on complex public policy issues. This approach recognizes that people are not the problem, and that we're better able to reach an amiable solution when we accept the task as a mutual problem.

// Principles for Collaborative Decision Making

CASA negotiations align with the following guiding principles for collaborative consensus building:

Purpose Driven – *People need a reason to participate in the process.*

Inclusive not exclusive – *All parties with a significant interest in the issue should be involved in the consensus process.*

Voluntary Participation – *The parties who are affected or interested participate voluntarily.*

Self design – *The parties design the consensus process.*

Flexibility – *Flexibility should be designed into the process.*

Equal Opportunity – *All parties must have equal access to relevant information and the opportunity to participate effectively throughout the process.*

Respect for Diverse Interests – *Acceptance of the diverse values, interests, and knowledge of the parties involved in the consensus process is essential*

Accountability – *The parties are accountable to both their constituencies and the process that they have agreed to establish*

Time Limits – *Realistic deadlines are necessary throughout the process*

Implementation – *A shared understanding of what implementation will mean for all parties is essential. Commitment to implementation and effective monitoring may also be a part of any agreement.*

The process and steps these teams use to reach agreement closely parallel interest-based negotiation theory, which will be discussed later in this guide.

This document will also outline the steps for successful collaboration:

1. Clarify the issue
2. Identify each party's underlying interests
3. Collect independent information
4. Generate scenarios and options
5. Develop integrated solutions
6. Agree on a package of solutions
7. Commit to shared implementation of agreements

This Guide is not directed at changing the general manner in which CASA Project Teams develop policy recommendations, but rather aims to enhance the experience and craft of project managers and stakeholders, by applying best practices to each step of CASA's collaborative process.

// Who Is This Guide For?

This Guide is for the Project Managers facilitating multi-stakeholder Project Teams as well as for those who participate in the process. Not intended to be exhaustive of all skills required, it provides a description of the tools and steps fundamental to collaborative decision making and integrates more structure and discipline into the process. With that in place, participants may feel better equipped to find mutually satisfactory solutions to air quality issues.

The processes and steps described in this Guide are intended to help multi-stakeholder teams:

- *Strengthen cross-sector stakeholder relationships and networks*
- *Ensure that decisions fit stakeholders interests*
- *Increase innovation and creativity in decision making*
- *Improve project deliverables including developing sustainable solutions for air quality*

//TABLE 1: DETERMINING IF COLLABORATION IS APPROPRIATE

COLLABORATION IS APPROPRIATE AND LIKELY TO BE SUCCESSFUL IF:	COLLABORATION IS NOT LIKELY TO BE SUCCESSFUL IF:
<ul style="list-style-type: none"> • Stakeholders are confident that collaboration is the most suitable process to effectively address and manage the issue • The issue is complex and impacts multiple stakeholders • Stakeholders are interdependent on each other for the solution • The status quo has unacceptable consequences for all stakeholders • All stakeholders have a sense of urgency and • Resources are available to support the process 	<ul style="list-style-type: none"> • A decision has already been made • The responsible agency does not require or want additional input or information • Key stakeholders are not willing to engage in a collaborative process • The issue is not urgent enough to warrant the time, energy and resources that would be required for a collaborative decision-making process.¹

WHEN AND HOW DOES CASA BECOME INVOLVED IN RESOLVING ISSUES?

Air quality issues come to CASA's attention through either a public submission or as an emerging issue identified by government, non-government organizations, or industry stakeholders. After an issue is proposed for consideration, CASA undertakes an analysis to determine how well the issue fits within the CASA mandate. The appropriateness of the fit also determines the level and extent of CASA's involvement.

DETERMINING WHETHER AN ISSUE IS SUITABLE FOR A COLLABORATIVE PROCESS

The analysis also considers whether collaboration would be the most appropriate approach to resolving the issue—or whether a less intensive approach such as consultation or information distribution would be warranted. The key focus however, is providing a platform for effective collaboration where challenging issues can be constructively discussed and innovative and integrated solutions can be developed.

¹ Susskind, McKernan, & Thomas-Larmer, 1999

SECTION 1:

BUILDING A PLATFORM FOR COLLABORATION

Let's begin with the end in mind. The ultimate goal is a win-win resolution to a dispute, or a mutually satisfactory solution to a challenging issue.

It's not about one side winning and the other side losing. It's about finding a solution that recognizes and integrates the interests of everyone at the negotiating table and a solution based on objective criteria, not personal opinion or position. It must be a solution that all parties can agree to. The advantage to a consensus process is that it ensures that all interests are represented and respected; gives all parties a say in the outcome; and promotes better understanding and respect for different viewpoints.

Consensus means all parties agree—or consent—to the final decision. Sometimes, however, consensus may be conditional. For example, a “working consensus” may indicate that agreement on a solution depends on the resolution to another related issue. And final consensus may mean that there is full

agreement on everything or that there is agreement on the package of solutions, some of which would not be agreed to if the solutions stood alone.

Before that can happen, it's important to set the stage for effective collaboration. That means creating a safe and trusting environment where people feel comfortable in expressing opinions, ideas, and concerns. The environment must be without prejudice or censure. It should encourage candor, honesty, respect, trust—and even a bit of fun.

Participants should know what's expected of them throughout the collaborative process. Everyone must know and trust the process—even in those instances where trust has yet to develop. To foster and support this trust, it's important for multi-stakeholder teams to establish and follow a set of shared rules (see Section 2, Step 3 for more on developing ground rules).

// Understanding Negotiation

Negotiation is a communication process where two or more parties discuss an issue in order to reach an agreement.

Negotiation is a process where each party involved in negotiating tries to gain an advantage for themselves by the end of the process.

In a multi-stakeholder context, it is helpful to understand two different approaches to negotiation:

1. Positional negotiation
2. Interest-based negotiation

POSITIONAL NEGOTIATION

In positional negotiation, each party demands or requires that there be a specific outcome and defends their position. In this type of negotiation, the parties often perceive themselves as adversaries. They may be unaware of what is really important to each other. Parties negotiating for positions may:

- Reserve important information and demand more than they expect to receive
- Measure success in terms of an adversary's displeasure
- Avoid asking questions for which they don't know the answer
- Question their adversaries' motivation

Positional negotiation tends to result in win-lose outcomes in which one party gains at the expense of another. Where no party can win, positional negotiation often results in compromise midway between two fixed positions, with limited consideration of whether a different result would produce greater benefits for both parties.

INTEREST-BASED NEGOTIATION

In interest-based negotiation, the parties seek to develop a common understanding of each other's motivating interests. Negotiating parties advocate for a decision that is motivated by their needs, concerns, fears, hopes, and aspirations. In this type of negotiation, the parties assume that their interests are interdependent and that mutually beneficial outcomes are possible. Instead of adopting positions, the parties communicate openly—asking questions and clarifying their

“Consensus processes involve internal thought as much as team dynamics. Participants need to do some soul-searching to discover their own underlying interests before they can articulate them to others.”

—from the Consensus Decision-Making Toolkit A Martha Kostuch legacy

interests. Once all interests are clear, they can be used as the basis for exploring options that accommodate the full range of interests.

Interest-based negotiators are willing to consider any potential solution that addresses their interests. This requires participants to:

- Establish a structured and collaborative process to deal with the issues.
- Identify the interests that must be accommodated to achieve agreement.
- Negotiate on the basis of accommodating or reconciling interests rather than compromising positions.
- Carefully consider alternatives to a negotiated agreement and recognize that these influence the potential for agreement.

// Below the Surface: Understanding Interests

Understanding what motivates—or interests—a negotiating party is like viewing an iceberg. On the surface, the interest may seem obvious, but below the waterline is a much bigger picture. For example, a buyer negotiating the price of a new car may seem only interested in getting a good price. But below the surface, the buyer—who is also a new father—is worried about getting too far into debt and being unable to provide for his family. Deeper still may be his ego and desire to be seen in a vehicle that reflects positively on his status in life. The point is, in order to effectively negotiate in a manner that integrates all parties' interests, it's important to understand the values, needs, fears, concerns, hopes and dreams that underlie each party's position.

A classic example of the need to understand a party's interests is illustrated in the story of two sisters quarreling over the last remaining orange in the refrigerator. They finally agree to divide the orange in half. The first sister eats her half of the orange and throws the peel away. The second sister peels her half of the orange, throws the fruit away and keeps the peel to use in a cake recipe. Had the sisters taken time to learn each other's interests, they could have reached an agreement that would have been better for each of them.

As is often the case in negotiation, the 'currency'—that is, what one party considers valuable—may not necessarily be valuable to the other party: the peel had no currency for the sister wanting only to eat the orange, but it was very important to the sister wanting to bake a cake. The currencies (the peel and the orange) are a reflection of each party's interest. Neither party could come to a win-win agreement by negotiating away their interest. That's true of all negotiation.

Take for example, a positional negotiation about the purchase of a car. The agreement may be about:

- The price
- The time frame and amount of payments
- The length of the warranty
- Additional features – heated leather seats, high quality tires, better suspension, etc.
- Whether there is the perception of a “good deal.”

“The ability to integrate ideas and interests from others into one solution is a key skill for success and requires focusing on the issue in the spirit of teamwork.”

-from the Consensus Decision-Making Toolkit A Martha Kostuch legacy

In this negotiation, the currencies are money, the car and its features, the warranty, and the perception that the price is fair or even inexpensive. This agreement could be between a private individual and a company that sells cars.

If the issue is the use of a public resource—such as air—for the purposes of emitting waste gas or smoke from an industrial process, the agreement may be:

- A recommendation regarding the air quality standard
- How this standard should be monitored
- The consequences if the standard is not maintained and
- Public and political support for establishment of the standard

In this case, the *currencies* are:

- The range of economic, social, and environmental impacts
- The costs and benefits of achieving and maintaining the air quality standard
- Information and expertise that may be held by one or more of the affected interests
- The public and political support for establishing the standard.

//FIGURE 1: INTEREST-BASED NEGOTIATION

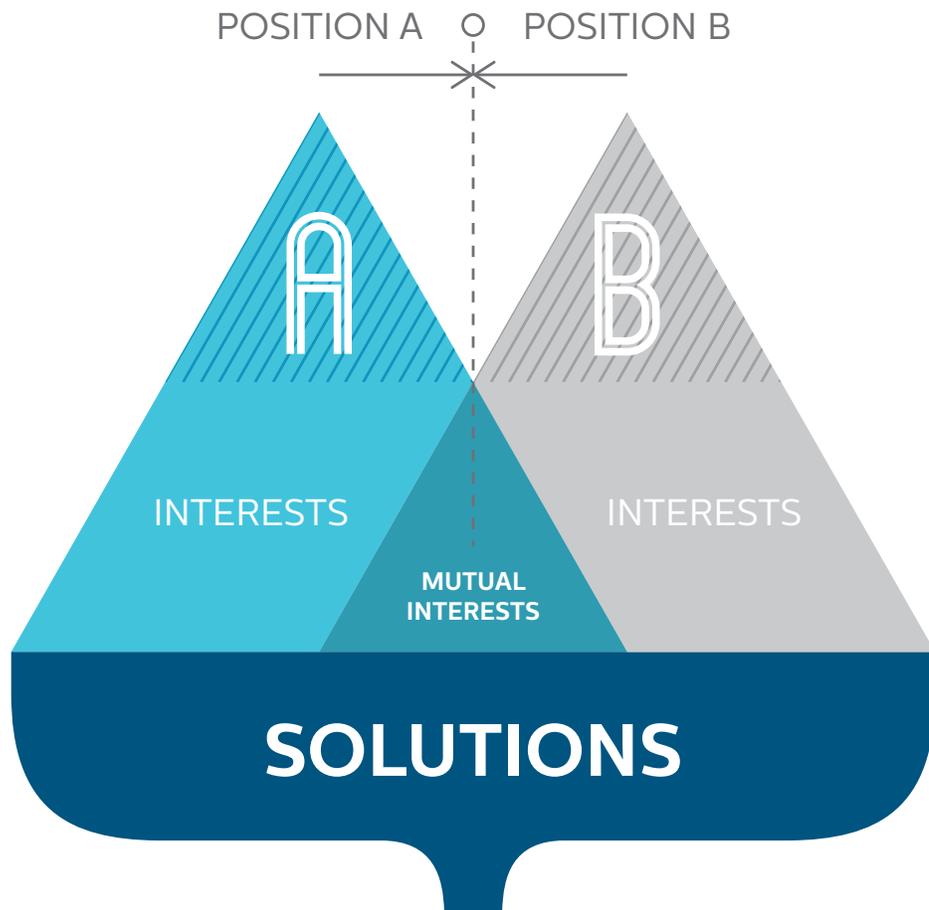


Figure 1 depicts an effective interest-based negotiation where parties are not face-to-face adversaries, but equal partners seeking solutions that satisfy their mutual interests. Both Party A and Party B have moved from their respective positions to a place of mutual interest.

// Different Types of Interests

In multi-stakeholder negotiation, there are three types of interests:

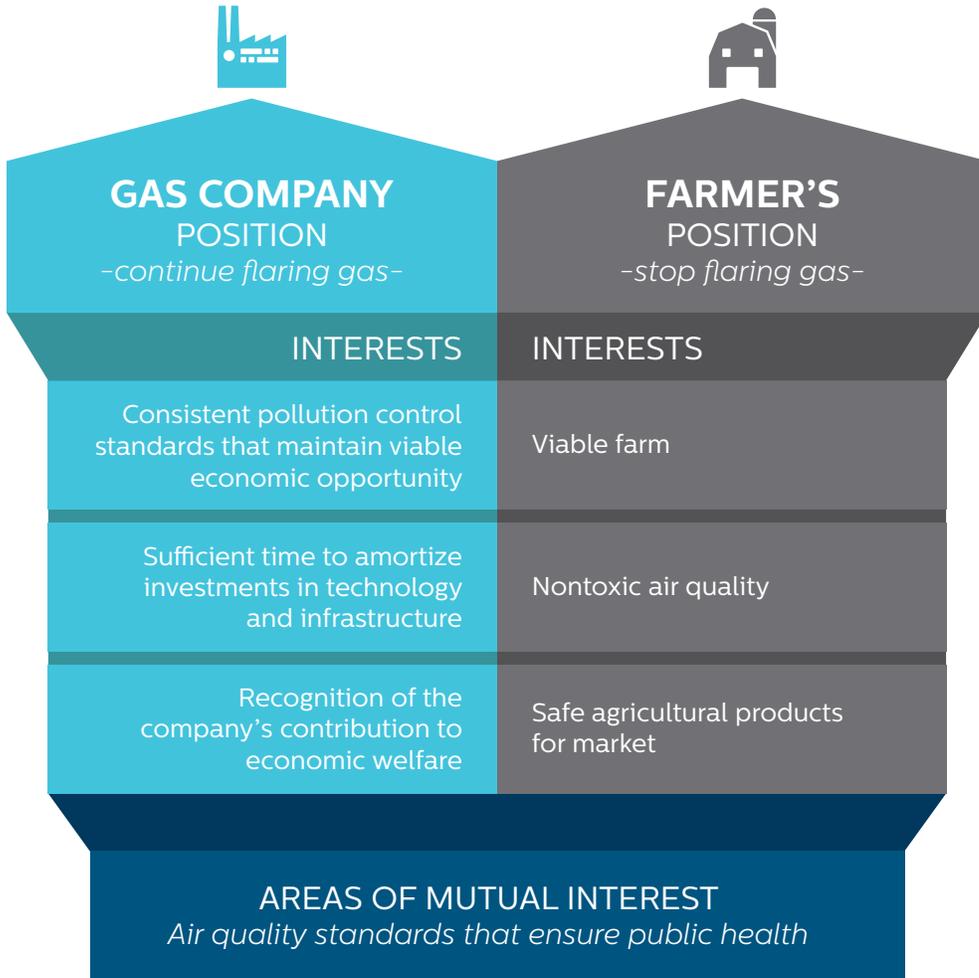
1. *Substantive interests* are tangible and meaningful—such as money, goods, and resources.
2. *Procedural interests* are the need for things to be done a certain way.
3. *Psychological interests* are related to perceptions and relationships.

It's important to understand how these interests influence a negotiating party's position. For example, Figure 2 illustrates the relationship between the positions and interests that could be associated with a dispute between a gas flaring installation and local farmers whose livelihoods are affected by the flaring process. Note that even parties with strongly opposing positions may have common interests—in this instance, both parties are interested in achieving air quality standards that ensure public health. Both need to achieve this in order to remain viable. Identifying common interests is often an important starting point in the interest-based negotiation process as it provides the parties with increased confidence that joint solutions may be possible. Once the full range of interests is identified, solutions can be formulated that integrate those interests.

“The ability to integrate ideas and interests from others into one solution is a key skill for success and requires focusing on the issue in the spirit of teamwork.”

—from the *Consensus Decision-Making Toolkit A Martha Kostuch Legacy*

//FIGURE 2: RELATIONSHIP BETWEEN POSITIONS AND INTERESTS



As noted in the example above, different types of interests come into play during negotiations. Concerns about environmental impacts and profitability are substantive interests. The need for sufficient time to amortize investment in technology is a procedural interest and the desire to be acknowledged as a contributor to the local economy and the need to have agricultural products be perceived as safe is a psychological interest.

Understanding and integrating all of these types of interests into solutions is the key to an effective interest-based negotiation process.

// Negotiating Public Policy Issues

While positional negotiation may be effective in situations involving a few parties and a small number of easily defined issues—such as the purchase price of a new vehicle—this type of negotiation is much less effective in complex public policy conflicts that typically involve multiple parties. These conflicts typically involve many variables and require extensive and constructive discussion of the potential solutions. An interest-based approach to negotiation that takes into account the underlying interests of each party and tries to find a solution that everyone can live with would be much more effective in a complex, multi-party negotiation. Table 1 illustrates the benefits of an interest-based approach in public policy conflicts.

“Taking the time to carefully plan the agenda and establish good practices during the meeting will save time in the long run.”

—from the Consensus Decision-Making Toolkit A Martha Kostuch Legacy

//TABLE 2: COMPARISON BETWEEN POSITIONAL AND INTEREST-BASED NEGOTIATION

POSITIONAL NEGOTIATIONS	INTEREST-BASED NEGOTIATIONS
Obtain the largest possible share of a fixed quantity of resources	Achieve a high level of satisfaction for all parties
Produce win-lose results	Produce results that meet underlying needs of all parties to the extent possible
Adversarial relationship between parties	Foster a collaborative mutually supportive relationship between parties
Parties perceive their interests as conflicting	Parties look for shared concerns or common ground and then seek ways of accommodating each other’s interests in solutions
Parties uncover as much as possible about the other side and simultaneously mislead and conceal information	Parties are willing to jointly identify their interests and determine the extent to which they can be integrated
Parties begin with high initial demands and modify their positions reluctantly	Parties focus on interests not positions
Parties use threats and arguments to overcome each other	Parties use reason and experience to address the problem

// The Project Team

The CASA Project Team is made up of a Project Manager, team members and the Co-chairs—each of them playing an essential and complementary role in collaborative problem solving and interest-based negotiation. Their roles are outlined below.

CASA PROJECT MANAGER

The CASA Project Manager, appointed by CASA, is a neutral facilitator who encourages shared understanding and dialogue in order to reach consensus. He or she does not advocate for a particular outcome or set of interests but advocates for an effective process and the integrity of the project charter (see Section 2, Step 2). By maintaining this impartiality and effective process, the Project Manager will gain the participants' respect and confidence. This will enable constructive dialogue and increase the team's capacity to work through difficult challenges.

This Project Manager should have specialized skills in the following areas:

- Creating collaborative relationships and developing partnerships
- Planning group processes
- Creating and sustaining a collaborative environment by:
 - Demonstrating effective interpersonal communication and group facilitation skills.
 - Recognizing diversity and ensuring inclusivity.
 - Managing group conflict.
 - Guiding the group to consensus and desired outcomes.
 - Using a variety of approaches to shift people from positions to interests and to focus on collaborative interaction.

PROJECT MANAGER ROLES AND RESPONSIBILITIES

1. Provides strategic and administrative support to assigned teams:

- Anticipating and monitoring issues
- Coordinating the production of publications
- Drafting and reviewing background, policy and communications materials
- Tracking progress on workplans and “making things happen”
- Facilitating meeting processes, arranging meeting logistics, and preparing agendas and minutes
- Providing advice on process, communications, roles, guiding principles, and feedback and evaluation mechanisms.

2. Liaises and shares responsibilities with the team co-chairs:

- Providing support and strategic direction to the co-chairs on process and meeting structure.
- Collaborating with the co-chairs to facilitate the management and resolution of issues.
- Enabling co-chairs to participate fully in the discussion, without having to play the dual role of sector representative and facilitator.

3. Administers the financial activities of assigned teams:

- Preparing and monitoring of budgets, workplans and schedules
- Providing regular budget updates to co-chairs
- Assisting in the development of requests for proposals for professional services contracts, ensuring clear and appropriate terms of reference
- Coordinating the evaluation of bids and administering the resulting contracts
- Monitoring and seeking approval for the disbursement of project funds

“Always find ways to talk about these behaviours and allow people the freedom to explain before assumptions are made.”

-from the Consensus Decision-Making Toolkit A Martha Kostuch Legacy

4. Provides support, analysis, and liaison for the CASA Executive Committee:

- Ensuring material moves in timely fashion upwards to the Executive Committee, and providing appropriate liaison from the Executive Committee to teams.
- Communicating on significant and developing issues with the Executive Director in a regular and timely manner

The team members continue to develop confidence in the Project Manager as they observe the Project Manager dealing with all the necessary project management requirements and intervening in the discussions and process in a constructive manner. Project managers should recognize when the group needs assistance and when it needs to struggle.

This dual role – Project Manager and facilitator – can be a challenge for CASA Project Managers because they are neither the boss nor the secretary for the team. If they exercise too much leadership, they risk undermining the commitment of the team members and potentially alienating them. If they exercise too little leadership, they may fail to deliver on the project charter. To be effective, the Project Team needs to have clear goals, decision-making authority, clearly outlined accountability and responsibility, effective leadership, training and development, provision of resources, organizational support, and rewards for team success. By focusing on these areas, the Project Manager can help the team develop effective processes.

The Project Manager should also foster continuous improvement in the process. For example, at the end of a meeting, the Project Manager should engage members in an evaluation process by going around the table and allowing each person to comment on the process or offer any additional thoughts or perspectives to improve the meeting or project approach. This will assist in increasing shared responsibility for the process and collectively ensuring the project is moving forward as planned. It will also contribute to openness, trust among participants and continuous improvement, and ensure each participant attends to any unfinished business prior to leaving the meeting.

PROJECT MANAGER’S ROLE IN OVERCOMING CHALLENGES

The Project Manager assists the team in overcoming challenges. The issues undertaken by CASA are complex, requiring stakeholders with potentially conflicting interests in the resolution of an issue to reach consensus on a solution.

At times frustration and tension are necessary and valuable dimensions of the process—not an indication that the Project Manager should intervene and attempt to ease the tension. As an impartial and influential participant in the team, the Project Manager is in a position to help the team articulate and investigate difficult questions. He or she can help build a foundation of trust and openness by working with team members individually and collectively to fully articulate their interests and explore options that integrate all interests.

Regardless of the effectiveness of the processes in place, however; the team may experience challenges that can inhibit progress.

PROJECT CHAMPION

Each team should include a Project Champion. Typically, the project champion would be a member of the Board of Directors and act as a liaison between the project team and the Board. The Project Manager, project co-chairs, and champion would engage in regular updates and discussions to ensure project success.

//TABLE 3: PMs ROLES / CHALLENGES

CHALLENGE	PROJECT MANAGER’S ROLE
<p>Members are not invested or committed to the process. They fail to attend meetings regularly or wait to engage until the point in the process when decisions are about to be made.</p>	<p>Requires the team to develop ground rules that anticipate, prevent and solve problems. Team ground rules—such as the need for regular attendance at meetings—can maximize members’ investment in the process and encourage members to contribute to the development of integrated solutions throughout the process vs. advocating for their position alone, as the project nears conclusion.</p>
<p>Some members wish to propose solutions during the early stages of discussion while others want to fully identify and analyze underlying issues. This creates the impression that team members don’t share a common sense of urgency and momentum is lost.</p>	<p>Helps the team stay on track by engaging in an early discussion about the process: solutions are developed on the basis of a clear understanding of the issues and related interests. The process begins with orientation and training, and most importantly, an agreement on the decision-making process that will be used.</p>

PROJECT CHAMPION ROLES AND RESPONSIBILITIES

1. Ensures availability

- Being readily available and accessible for consultation with project manager.
- Supporting the project manager and team to overcome roadblocks and watching for scope and schedule creep.

2. Keeps project on track

- Meeting regularly with project manager to review project objectives, deliverables, timelines, key milestones, and outstanding issues.
- Sharing accountability for the project.
- Attending team meetings when required to keep project on track.

3. Assures Project is in line with CASA's strategic goals

- Confirming project direction and advocate for the project
- Monitoring political environment to help project adjust, if necessary

4. Provides or locates resources for the project

- Aiding the project manager in lining up, getting commitment from, and managing resource needs.
- Actively engaging in project budget creation and validation and efforts to secure external funding.

5. Helps the project manager navigate CASA's Board

- Providing backing of the project to the Board.
- When a decision can not be reached by the team, securing the assistance of the Board to resolve the issue at hand in a timely manner.

6. Provides clarity about the expected outcome

- Owning the statement of opportunity
- Helping to define the scope, schedule, and resource needs.
- Ensuring the project is delivering on outcomes, not just outputs.
- Contributing to post-evaluation key learnings.

// The CASA Team Members

Team members are responsible for working collaboratively together to reach consensus. Each member should:

- Contribute to group cohesion and a positive culture
- Adhere to ground rules
- Demonstrate commitment to the project and to the team
- Contribute to the effectiveness of meetings and the project overall.
- Take individual and collective responsibility for success.

In order to build solutions that they can all support, the team members need to develop a shared understanding of the issues and related interests as well as the range of potential solutions. They must engage in open and honest interest-based discussions and negotiations in search of solutions that deliver on the interests of all parties. Through collaborative dialogue, sharing information and exploring new solutions, team members will foster mutual respect and trust, strengthening cross-sector relationships.

A COMMITMENT TO WORK COLLABORATIVELY INVOLVES:

- Seeking to understand the interests of other parties
- Clearly articulating the interests of the stakeholders you represent
- Asking lots of questions rather than making statements in an effort to persuade others that your point of view is the correct one
- Working constructively with other team members even if you do not agree with them or share their perspective
- Striving to find solutions that address the interests of all parties, not just your own
- Where it is not possible to agree to a proposal, offering an explanation and alternative that would address the deficiency while also addressing the other interests at stake

Team members should also establish effective communication with the decision makers in the organizations/groups they represent, so that information and feedback can be solicited.

It is each team member's responsibility to bring their constituency along and ensure that they can demonstrate to other team members that they are endeavouring to do this.

To enable effective communication, team members must be open and honest. They should be prepared to test their own assumptions about other team members before speaking up. As well, they should observe how others receive their contributions and whether these contributions are having the desired impact. By challenging the status quo and individual assumptions, new insights, perspectives and solutions will emerge. By taking risks in attempting to find solutions, team members encourage other team members to do the same. By revealing interests, identifying common ground and acknowledging shared learning, team members build trust and a foundation for creative problem solving.

Mutual respect and trust will also evolve by members building an understanding for the diversity of interests, attitudes, and values that exist in the team. Demonstrating a willingness to share information and knowledge, and investing time to understand differences, also contributes to building mutual respect and trust.

Team members also need to be aware and accept that differences of opinion and perspective are natural and expected and that the tension between differing perspectives can be used positively to help generate solutions. Finally, all team members need to actively participate and display a commitment and responsibility for the well-being of the team and the success of the process, including keeping the team on task and on track by:

- Appropriately managing and resolving issues
- Taking action when additional information no longer contributes to the richness of the discussions and the team has reached the saturation point;
- Providing feedback, clarity or direction when the team is distracted or getting off side;

- Providing input to the agenda and ongoing feedback to strengthen the team’s processes;
- Ensuring milestones and project deliverables are met as reflected in project schedule and associated work plans rather than assuming that this is the Project Manager’s responsibility; and
- Being committed and prepared to attend all the meetings.

All members can contribute the team’s effectiveness by being curious and aware of the team’s dynamics and patterns of interaction, and by being constructive and responsible in all interactions.

THE CO-CHAIRS

Teams often have three co-chairs, one from each stakeholder group. In addition to the roles and responsibilities noted below, each co-chair is expected to assume responsibility for representing and reporting back to their stakeholders. There may be some overlap between this role and the role of a project champion.

Co-chairs are often key stakeholders in the issue and this means they have the responsibility of being an effective co-chair while simultaneously effectively engaging as a representative of their constituency. The co-chair and project manager should work together to find a balance in meeting management so that co-chairs have the opportunity to participate fully in the discussion, without having to play the role of sector representative and facilitator.

CO-CHAIRS ROLES AND RESPONSIBILITIES:

- Provides leadership by guiding and directing the collaborative process, and centering the work of the project team on the mandate and desired outcomes outlined in the project charter.
- Works with the Project Manager to develop agendas, meeting materials, work plans, and resource needs.

“Inappropriate use of ‘blocks’ is a common cause of failure in consensus processes so it is incumbent upon good processes to have ways of addressing this.”

-from the Consensus Decision-Making Toolkit A Martha Kostuch legacy

- Oversees meeting management:
 - Presiding over team meetings in a manner that encourages collaborative participation and information sharing while moving the team toward timely closure and prudent decision-making.
 - Opening meetings and keeping meetings on schedule to complete the agenda
- Acts as a spokesperson for the team, including:
 - Liaising with other CASA teams.
 - Representing the team at the CASA Board of Directors meetings and obtaining feedback from the Board.
 - Representing the team in public participation processes and responding to media inquiries.

SECTION 2:

THE COLLABORATIVE DECISION-MAKING PROCESS

The first half of this guide outlines the theory behind and principles of effective collaborative decision making. With this foundation in place, the next steps are to put theory into practice.

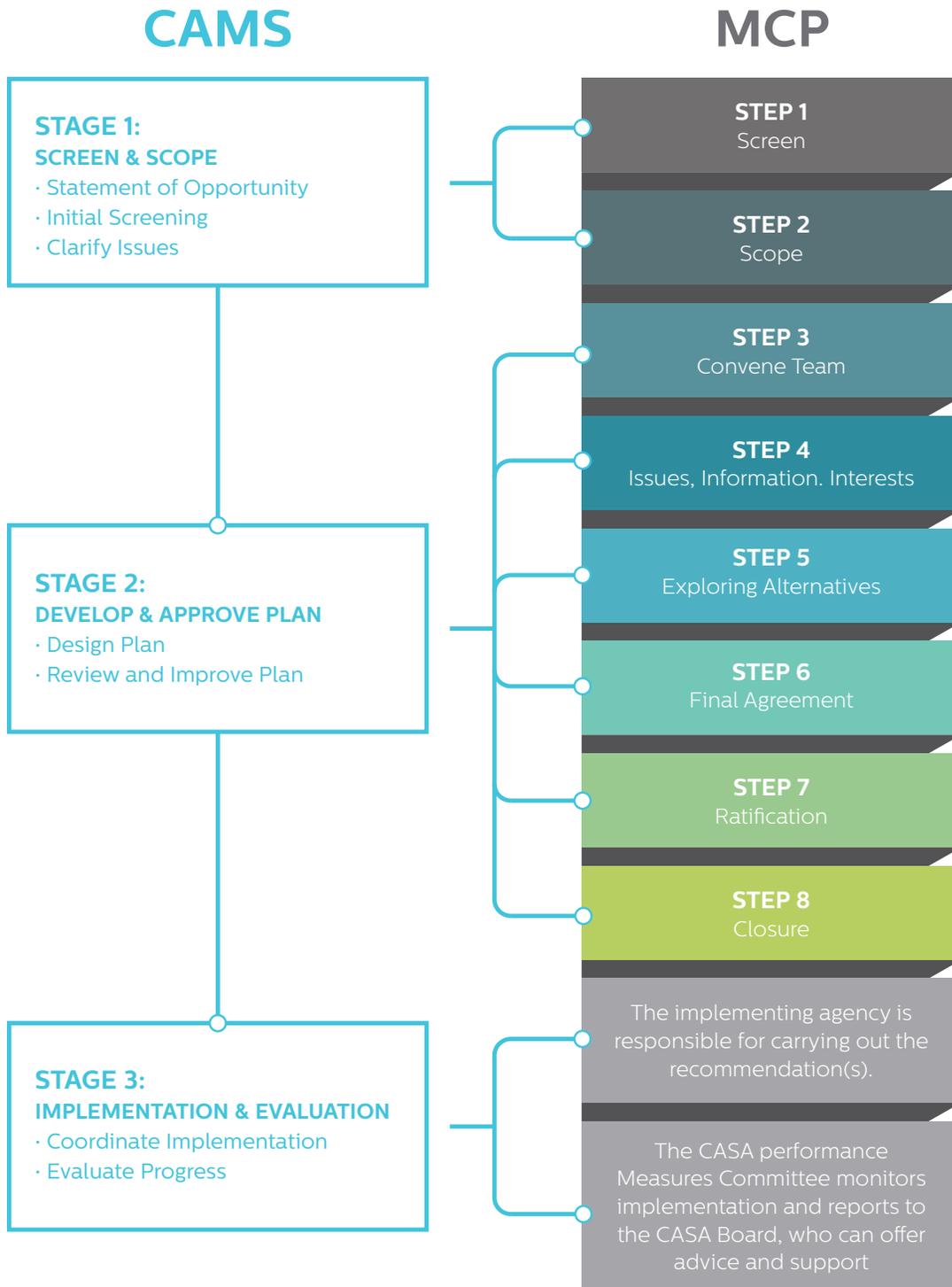
Because each CASA project is slightly different, the process steps outlined below can be adapted to fit each new project. Although the steps are described in sequence, many are overlapping, and some adjustments may be required as the discussion, analysis and negotiation begins to generate possible solutions.

The steps and the related decision-making process are based on CASA's Comprehensive Air Quality Management System (CAMS), an objective and defensible process that clearly

describes the criteria and step used by the CASA board in fulfilling its mandate. The system is intended to ensure that finite human, financial and technical resources are used efficiently to address high priority air quality management issues in a manner that is credible, consistent, transparent and objective.

The Table and Flow chart below provide an overview of the collaborative decision-making process and show its evolution and enhancement from the Comprehensive Air Quality Management System.

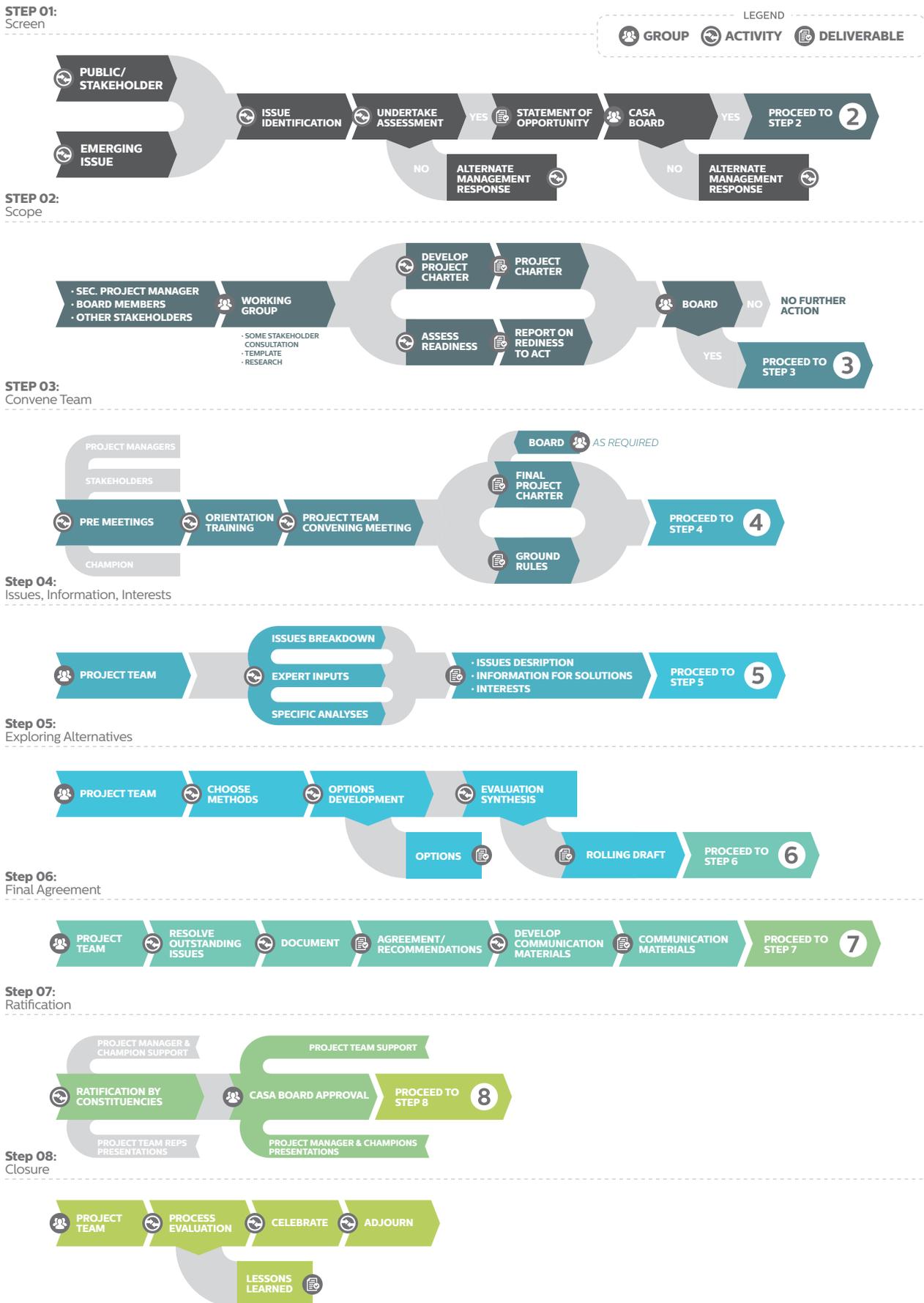
//FIGURE 3: RELATIONSHIP OF CASA COLLABORATIVE DECISION-MAKING PROCESS STEPS TO CAMS

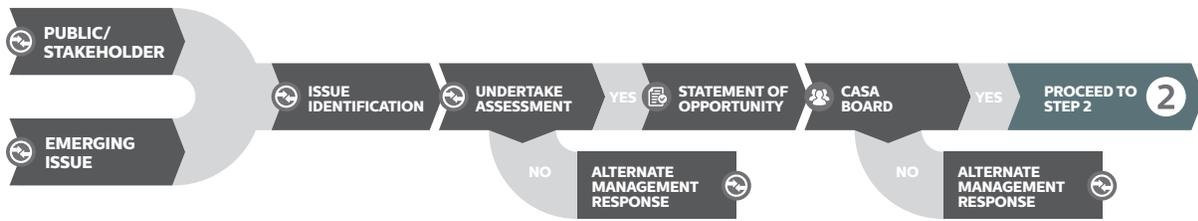


//TABLE 4: CASA COLLABORATIVE DECISION-MAKING PROCESS STEPS

MCP Step	ACTIVITIES	WHO IS INVOLVED	DELIVERABLES	DECISIONS
01 SCREEN	Develop a Statement of Opportunity. Assess how well issue fits CASA mandate. Confirm that CASA can potentially contribute to resolution.	<ul style="list-style-type: none"> • Secretariat • Some Stakeholders/ Board Members • CASA Exec 	<ul style="list-style-type: none"> • Statement of Opportunity • Issue ID 	CASA Exec decides whether to proceed or refer the issue to another agency
02 SCOPE	Develop Draft Charter. Secure necessary resources and logistical support. Confirm willingness of stakeholders to engage.	<ul style="list-style-type: none"> • Working Group of Secretariat and Board Members • Some Stakeholders • CASA Exec and Board 	<ul style="list-style-type: none"> • Draft Charter • Readiness report 	Stakeholders willing to participate. Board approval of draft Charter.
03 CONVENE TEAM	Pre-meetings with Stakeholders. Orientation and Training. Finalize Charter. Develop Ground rules.	<ul style="list-style-type: none"> • Stakeholders • CASA Secretariat, Exec, and Board 	<ul style="list-style-type: none"> • Final Project • Charter Ground rules 	Team agreement on Project Charter and Ground rules. Board approval of final Charter
04 ISSUES, INFORMATION AND INTERESTS	Breakdown the issues and gather relevant information. Identify interests that need to be incorporated into solutions. Receive input from experts. Undertake analyses.	Project Team	Description of the issues. Statement of the interests that need to be accommodated in potential solutions. Information relevant to developing solutions.	Team agreement on interests that need to be addressed in potential solutions
05 EXPLORING ALTERNATIVES/ OPTIONS	Investigate and select methods for developing alternatives. Develop and evaluate alternative solutions. Develop Rolling Draft	Project Team	Options or alternatives. Rolling Draft.	Team agreement on Rolling Draft
06 DEVELOP FINAL AGREEMENT	Resolve outstanding issues. Document recommended solution. Develop communication materials.	Project Team	<ul style="list-style-type: none"> • Recommended solution • Communication materials on recommended solution 	Team agreement on recommended solution and supporting communication materials
07 RATIFICATION AND APPROVAL	Team members seek ratification from constituencies. Presentation of Recommended solution to CASA Board.	<ul style="list-style-type: none"> • Project Team • Constituencies • CASA Exec and Board 	CASA approved Recommendations	Team member constituencies endorse recommendations. CASA Board Approves recommendations
08 CLOSURE	Evaluate process and document lessons learned for consideration in future CASA processes. Team adjourns and celebrates.	Project Team	<ul style="list-style-type: none"> • Lessons Learned Report 	Team agreement on lessons learned report

//FIGURE 4: CASA COLLABORATIVE DECISION-MAKING PROCESS STEPS





STEP 1: PRELIMINARY ISSUE ASSESSMENT – SCREEN

Step 1 focuses on assessing an issue to determine whether or not it should be addressed through CASA. Initially, air quality issues come to CASA’s attention through either a public submission or as an emerging issue identified by government, non-government organizations, or industry stakeholders. Once an issue is identified, an initial screening will be carried out to determine whether it is appropriate to undertake further steps in the collaborative process, or whether some other process would be more appropriate.

DELIVERABLES

- Issue Identification; and
- Statement of Opportunity.

ACTIVITIES

IDENTIFYING THE ISSUE

The Issue Identification template below would be completed by a CASA stakeholder or an interested party through the public submission process. This initial screening is a coarse filter that helps to determine whether it is appropriate to undertake further action on an issue in a collaborative process, or whether some other process would be more appropriate.

//TABLE 5: ISSUE IDENTIFICATION TEMPLATE GAINING APPROVAL TO ANALYZE THE ISSUE.

<p>WHAT IS THE ISSUE?</p>	<p>WHY IS THIS AN ISSUE?</p>
<ol style="list-style-type: none"> 1. What is the nature of the issue or problem? 2. What is the history of the issue? 3. What is the current situation? How is this issue affecting Albertans? 	<ol style="list-style-type: none"> 1. What aspects of the issue are important to you and why? 2. What other individuals or organizations have a stake in the issue? 3. What are the interests and concerns of those individuals or organizations, as you see them?
<p>WHAT WOULD BE GAINED BY ADDRESSING THIS ISSUE IN A COLLABORATIVE PROCESS?</p>	<p>WHAT ARE THE RISKS ASSOCIATED WITH NOT ADDRESSING THE ISSUE?</p>
<ol style="list-style-type: none"> 1. How would a multi-stakeholder collaboration contribute to resolving this issue? 2. Is there a shared perception that something needs to happen? 	<ol style="list-style-type: none"> 1. Is there a potential risk to the environment? 2. Is there a potential risk to human health? 3. Is there a potential risk to the resource base or the economy?

IDENTIFIED BY:

Name:

Title:

Phone:

Email:

Date:

After a completed issue identification template is forwarded to CASA, the material should be reviewed by the secretariat and the Executive Committee to determine whether or not to proceed.

The secretariat and the Executive Committee consider a number of factors in deciding if CASA is the most appropriate agency to address the issue, including:

- Is CASA's collaborative approach the most appropriate way to deal with the issue?
- Does the issue require a strategic approach?
- Does the issue have provincial implications?
- Is there a range of stakeholders that have an interest in addressing the issue?

If the answers to these questions are "yes," then it is likely to be an appropriate issue for the CASA Board to consider. The secretariat should proceed to the next step of the process – developing the Statement of Opportunity.

DEVELOPING THE STATEMENT OF OPPORTUNITY

To maximize the opportunity to address the issue, a project champion should also be established. The champion(s) acts as the project sponsor and provide credible leadership and representation for the project as a whole. The project champion(s) should be one or two members of the CASA Board who will work with the Project Team to manage issues, strengthen accountability and contribute to the project's success.

The CASA secretariat works closely with the project champion to develop the Statement of Opportunity, a more in-depth analysis of the issue presented in the Issue Identification process. A comprehensive Statement of Opportunity ensures that all key stakeholders are identified and all key issues are included. This document frames the issue for further discussion by the Board of Directors.

The Statement of Opportunity should:

- Identify and define the issue
- Examine the context
- Identify key stakeholders
- Identify potential resources needs (information, expertise, as well as funding).
- Identify the obstacles

After completing the Statement of Opportunity, the Secretariat will provide a report to the CASA Board of Directors. The Board will decide whether to continue to the next step of the process, which may include:

- Forming a working group to develop a project charter
- Directing the secretariat to provide more information or conduct further stakeholder discussions
- Referring the issue to another agency, potentially including recommendations for action;
- Not addressing the issue at this time
- Some other action as determined by the Board

If the Board decides that the issue is appropriate for CASA to address, it establishes a multi-stakeholder working group. This working group will be charged with further defining the scope of the issue and proposing a Project Charter (step 2) for a project team.

COMMON CHALLENGES

Challenge: CASA's Executive Committee and or key CASA stakeholders may be uncertain about their commitment to proceed.

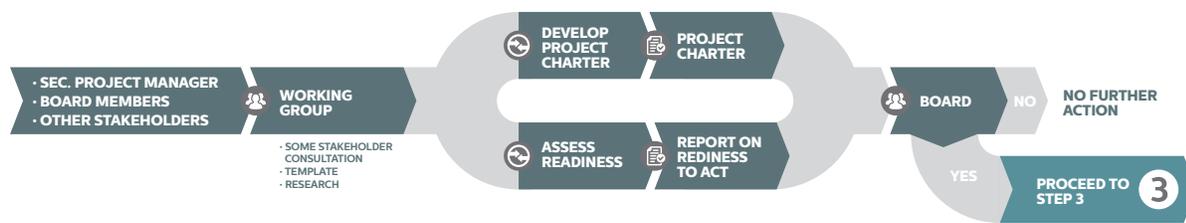
Overcoming the challenge: Continue to step 2 with a conditional commitment pending further evidence of the group's willingness to collaborate. The informal stakeholder consultations that will occur in step 2 and the discussions at the working group will reveal deeper insights into the question of whether all parties are prepared to proceed.

Challenge: Interested parties who have been involved in the initial screening want to move prematurely to addressing elements of the project charter before there is clarity around the nature and dimension of the issue.

Overcoming the challenge: Reassure interested parties that the Statement of Opportunity is an early approximation of the project scope and serves only to clarify and validate the issue. The objective of Step 2 is to develop the Project Charter that addresses all the relevant interests.

If CASA is not the most appropriate agency to deal with the issue, it may need to be addressed through one of the options described below:

- Referral to an agency with a mandate to address the issue (potentially including recommendations for action)
- Enforcement of existing regulations or requirements
- Some other action as determined by the Executive Committee (e.g. propose a consultative process).



STEP 2: SCOPE

The next step requires a working group to further screen and scope the issue and gain approval from CASA's Board to move forward with the project. The Working Group would be led by a Project Manager from CASA's Secretariat and have at least one Board member prepared to act as a project champion (Section 1, Project Team). The Working Group should also include a small group of representatives from government, industry and non-government organizations knowledgeable about the issue and collaborative decision-making processes.

DELIVERABLES

- A draft Project Charter, including the scope, objectives and participants in a project. It serves as a guidance document for the future of the project. The terms of reference is usually part of the project charter.
- Analysis of readiness to take action

These deliverables are essential to the project's success as the information defines the project including establishing basic parameters for stakeholder engagement and ensuring that sufficient resources are available to complete the project effectively.

ACTIVITIES

DEVELOPING THE PROJECT CHARTER

The Project Working Group develops the Project Charter which is the collection of all information relevant to informing the project's parameters and outcomes. Specifically, the charter describes the scope, deliverables, outcomes, projected resources and costs, timelines, stakeholder analysis and plan for engagement, a high level communication plan and draft ground rules for the Project Team. The Project Charter serves several different purposes:

- It is used to obtain support and approval from CASA's Board;
- It defines the scope of the project and provides a starting point for discussion and further analysis by the Project Team; and
- It communicates the project scope to stakeholders.

“While many participants will want to dive directly into the content of the issue, taking the time to lay the foundation will allow the process to be more efficient.”

-from the Consensus Decision-Making Toolkit A Martha Kostuch legacy

KEY AREAS TO BE ADDRESSED IN THE PROJECT CHARTER

Project goal: a high level statement identifying why the project is being initiated.

Background: Previous work related to the issue, including a scan of local and international research. This would assist to further clarify the concern and identify considerations and potential approaches to addressing the issue.

Project objectives: High level statements identifying what the project will accomplish. The objectives should be specific, measurable, action-oriented, realistic and time framed (SMART).

Project scope: A few clear statements that describe the significant components of the project—including what is not included. This critical piece of work will establish the project boundaries, assist in the evaluation of what should be included, and facilitate buy-in from stakeholders and decision makers on the project and deliverables.

Project deliverables: Identifies the tangible results including the products and services that will be provided.

Project structure: Breaks the project down into phases, activities and tasks and summarizes them so the project can be more easily understood, managed, tracked and controlled. Additional task information can be further included in the project work plan or the project schedule.

Project Schedule: The project schedule (e.g. Gantt Chart) is a critical tool for monitoring progress and ensuring the project is progressing as intended. It includes all project phases, key activities, tasks, key responsibilities and timelines. Reviewing and refining this document will assist in increasing the project team's investment and ownership.

“Effective communication is critical at all stages of the consensus process. Team members need to communicate with each other, with their stakeholder group, with experts, with the convening agency and possibly with the public.”

-from the Consensus Decision-Making Toolkit A Martha Kostuch legacy

SELECTION OF PROJECT TEAM MEMBERS

While the stakeholder analysis will inform identification of the stakeholder groups that need to be represented on the Project Team, the selection of actual representatives is appropriately the responsibility of the stakeholder groups themselves and this selection process should be guided by the following criteria:

- The representative's capacity to engage in interest-based negotiations and collaborative problem-solving
- The extent to which the representative is respected by the constituency as a knowledgeable representative
- Whether the representative has the time and resources to participate.

ANALYSIS OF READINESS TO TAKE ACTION

Completion of the draft Project Charter and the engagement plan will assist the Working Group in determining the readiness to take action. The Readiness Assessment Checklist below will help determine whether the necessary steps have been taken to ensure the success of the project. Many of the items on the list can be confirmed at this step in the process; however some of them, such as general agreement on purpose, outcomes and process, need to wait for convening of the Project Team in step 3. Completing the readiness assessment will ensure that all the necessary steps have been taken to successfully proceed, all of which will be important information

//TABLE 6: READINESS ASSESSMENT CHECKLIST.

CRITICAL ELEMENTS	YES	NO
Process has effective project champions		
Key resources are budgeted		
Core participants are willing/available		
There is general agreement on purpose and outcomes		
There is general agreement on how to proceed		
Scope of planning effort is reasonable		
Staff and technical support have been identified		
The project charter has been completed		
Purpose and benefits are well-understood		
Participants understand the collaborative process		
DESIRED ELEMENTS	YES	NO
All needed resources are in place		
Outside technical assistance has been or will be lined up		
Participation and the organizational structure is clear		
Roles and responsibilities are clear		
A planning process has been specified		
Time frames have been specified in the work plan		

Adapted from "Readiness assessment worksheet," MAPP: Mobilizing for action through partnership and planning, retrieved May 5, 2007 from http://mapp.naccho.org/ofsapd/ofsapd_ws_ra.asp

REQUEST FOR APPROVAL FROM CASA BOARD TO PROCEED

Upon completing the screening and scoping process, the draft Project Charter proceeds through the appropriate channels for approval. This includes gaining sanction from the Executive Director of CASA and Executive Committee, and approval from the CASA Board. The project champion would typically endorse the project charter to the Board and promote it throughout the organization.

COMMON CHALLENGES

Challenge: Stakeholders may not view the issue as a priority.

Overcoming the challenge: Help stakeholders understand whether the status quo is no longer acceptable and if the benefits that may result from addressing the issue outweigh the costs of not addressing it. Research indicates that when 75 per cent of leadership identifies the status quo as being unacceptable, then urgency has been established and the opportunity is ripe for change. Stakeholders that do not share a sense of urgency for change (the other 25 per cent) may need assistance in understanding why the majority of stakeholders are pushing for change and how it may benefit them to be involved in the process rather than trying to resist it. This assistance needs to be delivered as objective analysis of the pros and cons of action and participation versus any kind promotional approach which may be misinterpreted as

a bias towards the views of the stakeholders advocating for change. In developing the draft project charter, the working group will be consulting with stakeholder groups and will be in a position to assess their level of interest and if there is a large majority interested in proceeding (i.e. more than 75 per cent) the working group will need to explore the implications of this interest in change with those groups that are less committed.

Challenge: Too many stakeholders want to be members of the Project Team.

Overcoming the challenge: When the number of potential participants exceeds that which would allow an effective exchange, the engagement strategy should provide credible alternatives to direct participation. It may be necessary to organize stakeholders into like-minded caucuses which are represented at the table. Or, create workshops and subcommittees to provide other opportunities for meaningful involvement. The definition of consensus and the procedures for dealing with disagreement should help potential participants to realize they do not need to “outnumber” the opposition in order to be heard and ensure that decisions do not compromise their interests.



STEP 3: CONVENING THE TEAM

Step 3 focuses on convening the Project Team in a manner that facilitates the members' collective buy-in and ownership of the process, while capitalizing on their knowledge of the issues, and their willingness to engage in collaborative decision making. Effective convening positions the whole process for success.

DELIVERABLES

The key deliverables in this step include team consensus on:

- Participation ground rules including a collective commitment to effective interest-based collaboration
- The Final Project Charter

ACTIVITIES

PRE-CONVENING MEETINGS

Prior to bringing the team together at a convening meeting, the Project Manager and champion(s) meet with the stakeholders that will be represented on the Project Team to:

- Review the draft charter
- Discuss the collaborative process and what they can expect at each of the steps in the process
- Ensure stakeholders' commitment to interest-based collaboration
- Ensure stakeholders are aware that the project team is an optimal opportunity and best avenue to meet their needs
- Advise them on the criteria they should consider in selecting their representative:
 - The representative's capacity to engage in interest-based negotiations and collaborative problem-solving

- The extent to which the representative is respected by the constituency as a knowledgeable representative
- Whether the representative has the time and resources to participate.

COLLABORATIVE DECISION-MAKING (CDM) PROCESS ORIENTATION AND TRAINING IN INTEREST-BASED NEGOTIATION (IBN)

An effective way to begin to convene the team is to provide all team members and some of their sector colleagues with orientation to the CDM process and training in interest-based negotiation. The process orientation will assist the sectors in developing a common understanding of what to expect during the various steps in the process. And well-structured training in interest-based negotiation can significantly expedite the collaborative process by:

- Emphasizing the effectiveness of an interest-based approach when dealing with complex natural resource policy issues
- Explaining the dysfunction of positional approaches to complex natural resource policy issues
- Enabling the participants to distinguish between the positions and interests
- Creating a collaborative environment that is relatively safe and without prejudice to the forthcoming negotiations
- Strengthening the participants' communication skills to enable interest-based negotiation and constructive dialogue. When they practice these skills together, it often results in positive expectations for how they will communicate with each other during the actual process.

- Engaging the participants in hypothetical but realistic role-play negotiations. This enables them to explore alternative solution models and the different ways that interests can be integrated within them.
- Helping participants understand process design elements and procedural ground rules that are conducive to interest-based negotiation and constructive collaboration. Reaching acceptance of ground rules is necessary to ensuring everyone becomes a protector of the process.
- Developing a small group within each sector/constituency that can support their representative in adopting an interest-based—rather than a positional—approach to negotiation and problem solving. This will help to prevent instructions from the caucus to the representative such as “tell them our position and don’t back off...”
- Providing an enjoyable and non-threatening forum where the participants can get to know each other and have a bit of fun while they learn about the critical issues and interests and how to address them through interest-based negotiation.

This process orientation and training session will take 1 to 1.5 days and should be delivered by a practitioner experienced in CDM and IBN training and processes that have resulted in substantive outcomes. This practitioner should work closely with the Project Manager to help the process manager to build their own capacity and credibility to continue to facilitate the process to the standards that are set in the orientation and training.³

CONVENING MEETING

Either as an extension of the CDM Orientation and IBN training session or as an immediate follow up, the team convening meeting should engage the team members in a review of the project charter. The members should be encouraged to apply the IBN and communication skills from the training as well as the general orientation to CDM in order to reach agreement on each of the components of the charter which together make up the foundation for their process. This agreement signals their

buy in and ownership for the process and their commitment to effective collaboration and continuous improvement. The participants will already have a draft project charter to work from as a single text.⁴

GROUND RULES

The importance of the ground rules will have been addressed in the IBN training. At a minimum the ground rules should establish the tone and culture of shared leadership within the team while addressing process issues. Ground rules describe how team members can productively interact, discuss challenging issues and develop agreements in an interest-based manner. Ground rules may address:

- the orientation and responsibilities of facilitators
- a shared team commitment to focus on interests
- tools and techniques consistent with an interest-based approach
- ways in which information will be gathered, managed and applied
- requirements for communicating within a representative’s constituency
- communication protocols with other team members and external parties
- procedures and approaches that can be used to deal with conflict or impasse
- ratification protocols
- prohibitions or cautions regarding unproductive or inappropriate behaviors
- other elements unique to a particular project team.

³ Some project managers may already have sufficient track record and credibility however reinforcement from an external source can help build momentum.

⁴ Use of a single text should have been addressed in the orientation and IBN training

Ground rules may vary, depending on the nature of a particular project team—for example, the size of the team, duration of the project or complexity of issues. A working group may prepare a draft set of ground rules before convening a project team. Once a project team is established, participants can then “internalize” the ground rules and amend them as necessary. The project team should ratify the finalized ground rules. This requirement is often met in concert with training sessions provided during initial team meetings. Subsequent “experiential learning” can then follow, with the project manager modeling ground rule requirements during team discussions.

COMMON CHALLENGES

Challenge: Team members attempt to refine the charter and design the ground rules in a manner that is oriented to achieving outcomes biased towards addressing their interests as a higher priority or at the expense of others.

Overcoming the challenge: Ensure that the prospect of challenging the charter is explicitly addressed in training. Demonstrate how the process ensures that participants cannot be forced into agreeing to something that is not in their interests. The ground rules discussion and content should enable the participants to take risks in problem solving without any risk



STEP 4: ISSUES, INFORMATION AND INTERESTS

Building on the foundation created by their agreement on the Project Charter, participants need to develop a common information base that they can rely upon to support collaborative problem solving and interest-based negotiation. This involves three inter-related activities:

1. Discussion of the issues, related interests and information sources
2. Expert presentations and inputs
3. Specific analyses and information development initiatives.

DELIVERABLES

- Detailed description of the issues
- Information and analysis that is collectively required to support solution building
- Detailed understanding of the interests that need to be addressed in a resolution to the issues.

ACTIVITIES

UNDERSTANDING THE ISSUES, INTERESTS AND RELATED INFORMATION

Developing understanding of the issues, interests and related information is like peeling the layers off an onion. Each layer reveals more. This ‘peeling’ process will continue until the team has reached consensus and agreed upon a solution—and even then the information gathering is not over. Even final monitoring implementation will reveal new information that requires further analysis and may result in adjustments to the solution. The process requires intense discussion to determine:

- What participants understand about the issues and why
- What are participants’ interests in resolution to the issues – how they may be affected positively and negatively
- What information sources participants have to support their understanding and why those sources may differ from other sources.

Critical to finding a solution and developing options is the process of defining the interests that must be addressed. In many respects, these interests are like criteria or objectives for the purposes of developing and evaluating solutions. The Project Manager or Chair or a team member should be able to say once the interests have been clarified: “so if I understand the interest correctly, what we are looking for is a solution that satisfies and or addresses Interest A, Interest B, Interest C, etc.”

If participants all agree, then they will have a neutral goal statement to guide the next step in the process. If one of the participants responds with something like: “well, you are close but we also need to include Interest X and Y and Z,” – the facilitator or any of the other actors should be able to respond: “ok, so if we find a solution that satisfies all of these interests then it must have some potential to contribute to or even become our agreed-upon recommendations?” The team should affirm or engage in another round of revealing additional interests that need to be factored into solution building.

It can be helpful at this stage for the team members to articulate and document their interests in a short “interest statement.” The resulting interest statements from all stakeholders can then be consolidated in a single document that may provide an early indication of synergy and the potential to build solutions. Development of these statements has an added benefit of bringing constituencies along in the interest-based approach as they will need to approve of the statements.

EXPERT INPUTS

Use of experts to enrich the discussion of issues can be very helpful provided some basic principles are followed. The team should:

- Jointly engage the experts
- Agree on the terms of reference for engaging the expert
- Clarify whether the team is interested in the expert's recommendations
- Avoid pitting one expert against another in favour of a collaborative approach
- Ensure that assumptions are made explicit
- Ensure that analysis and sources are transparent
- Ensure that uncertainty and associated risk is explicitly addressed in information products.

In addition to sharing the knowledge about the issue, experts can also explain how the issues may have been addressed elsewhere—although a duplicate solution may not be acceptable, since the issues and stakeholders in this time and place may have unique characteristics that need to be addressed in a unique manner. They can also assist in scoping additional analyses, modelling or scenario work that may be helpful in exploring alternative solutions, the next step in the process.

COMMON CHALLENGES

Challenge: Participants remain positional about issues, insisting that the only viable solution is the one that is promoted by their sector or agency.

Overcoming the challenge: Ask a lot of questions rather than arguing:

- What is the issue from your perspective? (reveals how the individual defines the issue)
- How would you resolve this issue? (reveals their position)
- If that solution were implemented how would it resolve the issue? (reveals some underlying interests)
- If an alternative solution were implemented, how would you be affected? (reveals more interests which can then be queried)
- Invite the party to explain how restating their position is intended to move the group towards a solution

- Refer back to the ground rules and experience in the interest-based negotiation training where this issue should have been addressed;
- Recognize that it may not be possible to resolve the issue by agreement but that is what the process is intended to do
- Agree to disagree for the time being and move on
- Employ the dispute resolution procedure in the ground rules

Challenge: Team members may be unwilling to share information.

Overcoming the challenge: Recognize that team members may withhold information for a variety of reasons:

- Commercial or proprietary interest in the information
- Perception that information is power and withholding it will increase leverage
- Fear that release of the information will undermine positions

In order to address this challenge, first determine why the information is being withheld and focus on addressing this motivation. This could include developing confidentiality protocols, accessing the information in a different manner or from a different source, and referring to the ground rules where this should be addressed.

Challenge: Participants are uncomfortable engaging and do not reveal their interests or the information to which they have access.

Overcoming the challenge: Sometimes—for personal or cultural reasons—participants are reluctant or unable to articulate their interests or share information. The Project Manager and Co-chairs (as well as other team members) need to be aware of this possibility and develop strategies for helping the team member having difficulty engaging. This may involve:

- changing the setting by taking a field trip that emphasizes the team member's background and knowledge
- eliciting stories from the member that reveal interests and information
- inviting input from expert advisors who are knowledgeable about the team member's interests and background.

- applying active listening skills to help the member articulate their interests either in a one-on-one setting or in a small group.

Challenge: Participants are unable to agree on electing consultants and determining their terms of reference.

Overcoming the challenge: Consider the following steps in order to avoid the potential conflicts associated with information gathering.

- Have the team jointly determine the questions that need answers
- flesh out these questions into clear terms of reference using standard project management protocols – purpose, objectives, deliverables etc.
- establish explicit criteria for evaluating proposals
- invite multiple proposals from qualified consultants and evaluate them jointly or appoint an agreed-upon subcommittee to do the evaluation
- interview top candidates if there is uncertainty about the best proposal; and
- balance the input from a team member's "in-house" expert or expert closely aligned to their organization or sector with the input from an expert known to have a different point of view.

Challenge: Participants use information requirements as a means to avoid or delay solution building.

Overcoming the challenge: The following inter-related strategies can help to address this challenge:

- ask questions to determine what interests are affected by the information gap – e.g. what would be the consequence if this information is not gathered? Then focus on alternative ways to address the interest or integrate that interest into the framework for solution building in step 5

- confront the issue of avoidance and delay and discuss how the team should address it
- establish joint expectations for dealing with uncertainty. This may include a commitment to adaptive management; and
- recognize that uncertainty is unlikely to ever disappear and that there will probably always be more information that it would be helpful to have and that the team has to make recommendations in a timely manner in order to succeed.

To a certain extent, this problem can be pre-empted by addressing it during the development of the ground rules, which should include a commitment to sharing information and maintaining confidentiality where required, and in the IBN training, where a simulation exercise on resolving an information dispute through interest-based negotiation can model the approach that needs to be applied to the real situation.



STEP 5: EXPLORING ALTERNATIVES

Using the interests and related information identified in step 4 as a framework, team members are now positioned to explore alternative solutions to the issues. Exploring alternatives is important to generate other feasible options that address the range of interests to be accommodated in order to develop consensus within the team.

DELIVERABLES

- Options and/or scenarios that address the range of relevant interests to varying degrees, including implementation requirements, costs and challenges
- Rolling draft or outline of potential solutions, based on analysis of the collected interests.

Many participants will have engaged in brainstorming exercises. The process of generating new ideas is often viewed as very sensitive, particularly if there are significant interests at stake. Participants may be afraid to reveal information that may be harmful to them in some way and they may listen in search of information that gives them an advantage. Because the topics are often controversial and participants may have much to gain or lose, there is often a very critical atmosphere that surrounds the brainstorming process. Participants often dismiss or limit new ideas because they:

- contain elements of another idea they have already dismissed
- do not immediately address important interests
- think they have a better idea and they have been waiting for the opportunity to express it
- do not understand the new ideas

- have a conflict or dispute with the person that has expressed the new idea
- had an idea that they expressed which was dismissed
- focus their attention on what might be wrong with the new ideas rather than trying to identify what might be creative and valuable
- do not explore and record the important dimensions of new ideas accurately and they get lost.

To make the brainstorming process far more effective, it's helpful to adopt simple procedural rules that limit the potential for a destructive and unproductive dynamic to undermine the process. These rules include:

- Ensure all members are committed to a “without prejudice” discussion – i.e. making or discussing a proposal does not mean that you agree with it and the fact that you proposed it or discussed it cannot be used as leverage to get you to agree to it or something else later on.
- Postpone evaluation until after all ideas have been tabled.
- Be systematic about generating ideas by shifting from one approach to problem solving, and all the options associated with it, to the next.
- Ensure evaluation identifies what might be good about an idea in addition to what is wrong with it.
- Accurately record the ideas for use in problem solving and negotiation without attribution.

ACTIVITIES

CHOOSE AN APPROACH TO GENERATING AND ANALYZING ALTERNATIVES

Listed below are different approaches to generating and analyzing alternatives. Team members should decide which approach they wish to take and determine how they may benefit from the advice provided by experts involved in step 4.

Simulation models are realistic and simplified representations of the systems and context associated with the issues. These models provide an analytical framework for investigating the impacts of alternative approaches and demonstrate how decisions today may trigger or contribute to future system conditions.

Structured decision-making models define all of the key decision points associated with resolving the issues and link them together in a rational and objective framework or model. Participants can then test alternative decisions and consider the impacts and the implications for other related decisions.

Scenario development tools enable consideration of alternative futures. Some take a set of parameters and forecast them out into the future based on known relationships. Others back cast from a preferred future state and attempt to trace the decisions required to create that future while accounting for the physical relationships that are integral to the system being considered. Other scenario tools focus on identifying the key factors limiting the full range of options which can then become the focus of alternatives analysis.

Multiple accounts analysis and full cost accounting are analytical approaches for assessing the impacts of alternatives. They do not generate alternatives as the other methods outlined do; rather, they provide a framework for assessing the impacts. Both approaches go well beyond more conventional economic analysis which attempts to monetize all relevant parameters and as certain the most efficient or beneficial option. The range of interests of concern will be key to defining the various analytical accounts in a multiple accounts analysis and full cost accounting.

DEVELOP AND EVALUATE THE OPTIONS OR ALTERNATIVES

Apply the chosen methods to develop the alternatives or options and to evaluate them. It may be possible to prioritize and or rank the options paying particular attention to the joint gains or “win wins” and the implementation issues. To assist in prioritizing and choosing the best option, some basic criteria include:

- It meets everyone’s interests.
- It solves the issue.
- It is implementable

The review of the options against the criteria will ensure that the option chosen accounts for the resources and capabilities required for successful implementation. Also, it will contribute to the options being realistic, coordinated and aligned with the needs of all stakeholders involved.

START A ROLLING DRAFT

After the range of alternatives has been considered and discussed, participants should be able to outline how the solution should look like in general terms (e.g. table of contents for their report and recommendations). If one of the options is clearly much better than the rest, it would be the basis for moving forward in step 6 - Negotiating a Final Agreement. This outline or the preferred option forms the basis of a rolling draft which includes those “consensus elements” that participants agree (conditionally or without any conditions) should be part of the solution and those items that are still outstanding. During the analysis and discussion of alternatives, crucial elements of solutions will be identified—elements that all team members agree must be part of the solution. These consensus elements become the initial substantive components of the rolling draft. Agreement on the rolling draft itself is a significant milestone for the collaborative process.

DEVELOPING RECOMMENDATIONS

For CASA teams, solutions usually take the form of recommended actions for various implementing agencies who have taken part in the process. Teams should ensure their recommendations are SMART (Specific, Measurable, Action-oriented, Realistic, and Time-bound). SMART recommendations are more likely to be implemented and make it easier to monitor progress made on implementation.

COMMON CHALLENGES

Challenge: Participants become positional and attempt to prevent options from being considered.

Overcoming the challenge: Remind everyone that:

- solutions must address the range of interests. Rather than preventing an option from being proposed, ask: how will this option address the full range of interests including those of the team member who is objecting to the option being considered?

- there will be no consensus if everyone does not agree, which will not occur if interests are not met
- the ground rule offer provisions for confidentiality, without prejudice discussion etc. These should enable participants to discuss options without implying that they might agree with the options. In other words, the fact that a team member constructively discusses an option cannot be used as a means to convince them to agree to it.

This should help shift the focus from preventing options from getting to the table to how any and all options address the full range of interests.

//FIGURE 7: SMART STANDARDS

EXAMPLE 1: Meets SMART Standards	EXAMPLE 2: Does not meet SMART Standards
<p>The Alberta Department of Energy should extend the Otherwise Flared Solution Gas (OFSG) program to include bitumen wells by 2011.</p>	<p>Alberta Agriculture, Food and Rural Development (ARD) improve the collection of animal health data respecting the impacts of solution gas flaring.</p>
<p>This recommendation states specifically who is the implementer, what they are expected to accomplish and by when. The action required is reasonable and can realistically be accomplished in the time allowed. In the future, when the recommendation is reviewed, there is no ambiguity as to whether the recommendation has been implemented.</p>	<p>The wording of this recommendation is not time-bound. It does name the implementer and request an action but the action is not specific or measurable. Rather it is ambiguous as to what needs to be accomplished in order to consider this recommendation implemented. What is considered improvement? What is considered enough improvement? How is this wording to be accomplished? As such the wording is not realistic either. In the future, when the recommendation is reviewed, it will be unclear whether the recommendation has been implemented and opinions on implementation will be subjective and possibly conflicting. A better solution would be to specifically describe what actions ARD will do to improve the collection of data and when this will be accomplished.</p>

Challenge: Implementation issues are not adequately considered when evaluating options.

Overcoming the challenge: The process of uncovering interests should reveal interests associated with implementation. These interests often relate to matters such as the time frame for implementation and who will be responsible for monitoring. It may be worthwhile to have an explicit discussion about implementation interests before the options development process. That way, implementation interests can be more fully considered in the options themselves rather than be treated as a subsequent consideration. This consideration of implementation interests and challenges can be assisted by engaging representatives of agencies or other groups that may be involved in implementation, but not necessarily represented on the team. They may be able to provide valuable insights into implementation strategies that are more or less streamlined effective, efficient etc., while also revealing implementation challenges that have not been considered or anticipated by the team.

“Probe and explore to determine if the member’s concern is valid. Test with the team—do others have a similar concern?”

—from the Consensus Decision-Making Toolkit A Martha Kostuch legacy

STEP 6: NEGOTIATING A FINAL AGREEMENT

Negotiating a final agreement is the central focus of this step. This involves working through the outstanding issues in the rolling draft and finding solutions. Precise documentation is essential and communication materials may need to be prepared to assist team members in briefing their caucuses.

DELIVERABLES

- Team consensus on a solution to the issue(s) fully documented
- Communication materials to support presentations to constituencies.

ACTIVITIES

RESOLVE OUTSTANDING ISSUES

Team members should work through and resolve any outstanding issues by addressing the interests that are integral to a solution. In some cases, it may be possible to resolve an outstanding issue by accommodating the range of relevant interests – that is, find a balanced approach or the “middle ground”. For example, agreement on an ambient air quality standard or target may balance risks to human health and the environment with economic considerations.

Agreement on the standard may also be linked to other substantive issues and interests such as compensation for rapid compliance. By integrating relevant interests and the solutions to related issues, the team members shift the focus from compromise to adding value or mutual benefit. Overall, the team is developing an integrated package of solutions or solution elements that are mutually reinforcing.

Various team members may not be in a position to agree to a specific key element of the package if it were to stand alone, but they are able to agree to it if it is packaged together with the other elements. In order to facilitate this packaging and integration process it may be necessary for the team to have different definitions of consensus built into their ground

“Look for common ground.”

-from the Consensus Decision-Making Toolkit A Martha Kostuch legacy

rules⁵. For example, a “working consensus” may indicate that agreement on a solution to a specific issue depends on the resolution to another related issue. And “final consensus” may mean that there is full agreement on everything or that there is agreement on the package of solutions, some of which would not be agreed to if they were proposed separately. Given these subtleties, how the team is canvassed for consensus can make a big difference to the outcome. The team should agree on how the question will be posed to them and this should be consistent with their ground rule provisions regarding consensus. A few examples of alternative questions:

- Does anybody agree with this as a “working consensus” or “final consensus”?
- Is there anyone who cannot live with this as our final outcome?
- Do we have consensus on this as our final package of solutions and recommendations?

Once the team has worked through all of the outstanding issues, they may find that they are still unable to find solutions to one or two issues. If this occurs, it may be productive for the project manager and co-chairs to work directly with key caucus members, and to take a much more active role in shuttling proposals and counterproposals between the caucuses. In some instances, it may even be helpful to draw on the services of an experienced independent mediator to resolve persistent issues, given the considerable investment in time and resources of the engaged stakeholders.

CREATING A 5-YEAR METRIC TO EVALUATE LONG-TERM SUCCESS OF TEAMS

After the team has resolved any outstanding issues and reached agreement on their recommendations, CASA teams are asked to create a single, specific metric that can be used to assess the overall success of the project team five years in the future. This allows CASA to evaluate the overall impact of completed project team work and demonstrate the value of the project to stakeholders.

In developing this metric, teams should consider: “Five years from now, how will we know if our work has been successful?” The team should try to make their metric as specific as possible, taking into consideration data availability. They should provide clear instructions for follow-up on the metric in the future. Teams should also ensure that the metric meets the SMART criteria (Specific, Measurable, Action-oriented, Realistic, Time-bound).

CAREFULLY DOCUMENT THE AGREEMENT

It is very important that the details of the team consensus are accurately documented. Subtle changes in specific words and phrases can have major implications for the overall impact of the agreement on the team members’ constituencies. The team may have developed understandings of what various terms and phrases mean that are not common and would not be correctly interpreted without explanation. At this point, the team not only needs to ensure that their agreement says what they think it says but also that others will interpret it the same way.

DEVELOP COMMUNICATION MATERIALS

Once the agreement is clearly and accurately documented, communication materials may need to be prepared to support presentations to constituencies during the ratification and approval process in step 7. These materials need to highlight:

- The details of the agreement;
- The underlying rationale for why this approach makes sense for all relevant interests; and
- The due diligence and effort that went into to developing the solution including attention to implementation requirements and risk analysis.

COMMON CHALLENGES

The challenge: Team Members may test the potential to circumvent the process by lobbying the responsible agency/regulator or the CASA Board.

Overcoming the challenge: The prospect of “end runs” should be discussed during the convening step and addressed in the team ground rules. There should be an explicit commitment in the ground rules to avoiding these tactics. If end-run tactics do occur, team members should assert the ground rules and seek backing from the CASA Board if necessary. Reporting any rumours about these tactics should be part of the team’s standard operating procedure.

Challenge: Team Members may reach an impasse.

Overcoming the challenge: There are a range of approaches that the team can take if they are unable to overcome an impasse:

- Follow the dispute resolution procedures in the ground rules which should include provisions such as: document the outstanding issue, the proposed solution, and how those proposals are intended to address the relevant interests; bring in an independent mediator; seek direction from the CASA Board. The dispute resolution procedures in the ground rules should be designed to push the participants towards building an agreement themselves rather than simply giving up and assuming that they will not reach agreement.
- Postpone resolution of the issue and design a process for dealing with it or recommend that a new Team addresses it. For example, it may be necessary to study the issue in order to resolve it.
- Find out if there are some other interests that have not been expressed or addressed. For example, psychological and political interests are often very important in the final stages of a negotiation and they may have little to do with the substance. These other interests may need to be addressed in order to secure an agreement.



STEP 7: RATIFICATION AND APPROVAL

Once the team has reached agreement on their recommended solutions they need to seek ratification for those recommendations from their constituencies and approval from the CASA Board. The constituencies and the Board should have been regularly updated on the team’s progress so there should not be any surprises at this point. Ratification involves formal endorsement by constituencies rather than any further negotiation of the content. Similarly, approval by the CASA Board involves the Board formally agreeing to recommend and promote the proposed solutions to the relevant government authorities for implementation.

DELIVERABLES

- Clear and documented support for the consensus recommendations from the constituencies represented on the Team; and
- Board approval of the final recommendations.

ACTIVITIES

PRESENT THE AGREEMENT TO CONSTITUENCIES FOR FORMAL APPROVAL

Throughout the process, each team member is responsible for keeping their constituents informed—and for actively promoting informal constituency support for the agreement negotiated during Step 6.

If obtaining constituency ratification is a challenge, it may be helpful for multiple team members—particularly those with previously differing positions—to co-present the proposed solution in constituency briefings. This will permit constituency members to actually witness consensus by hearing directly from those they would expect to disagree with the solution—a stronger case than what might be made by their own representative proposing the solution alone.

PRESENT THE PROPOSED SOLUTION TO THE CASA BOARD

Once all of the constituencies represented on the Team have formally endorsed the Team’s recommendations the package can be presented to the CASA Board for approval. Any members of the CASA Board that have a substantive interest in the issues will have been represented on the Team and may have already endorsed the recommendations as a constituent of the Team. The CASA Board approval is CASA’s shared commitment to formally recommend and work toward the implementation of these solutions.

COMMON CHALLENGES

Challenge: Some participants may attempt to leverage last minute concessions.

Overcoming the challenge: Ensure that sufficient time was taken to secure the agreement during step 6 and that the prospect of this occurring is explicitly discussed during the convening stage and the development of the ground rules. If a participant attempts last-minute concessions, the participant should be reminded of the ground rules and invited to consider the implications for their credibility if this was to come to the attention of the CASA board and their constituents.

Challenge: Media misconstrues or misrepresents the consensus.

Overcoming the challenge: The team should be proactive with the media throughout the process so that appropriate reporters understand what the team has been doing and how they have been working together. Once the solution is agreed to and ratified, the press should be jointly briefed and talking points discussed and agreed to in advance of the briefing. The prospect of leaks and poor reporting should be anticipated and preventive responses agreed to in advance as well.



STEP 8: CLOSURE, CELEBRATION, REFLECTION AND EVALUATION

Reaching this final step—the development of an agreement that addresses the issue that brought parties together in the first place—is cause for celebration. Reflecting upon the project’s success can be intrinsically rewarding for each team member, and can reinforce the value of doing business this way. It’s also important to acknowledge and validate each team member’s contribution and time commitment and to encourage them to continue to act as champions for the project and the collaborative decision-making process.

The valuable lessons learned along the way can lead to more informed decisions in future projects down the road. Team members should debrief, and ‘soften the hard edges’ around the experience and team dynamics—documenting any advice they would have for future Project Teams to make the process more efficient and effective. As part of this process, Co-Chairs and team members should provide candid feedback about the process and outcome.

DELIVERABLES

- Documented lessons learned for consideration by the CASA Board and secretariat as well as future Project Teams.

ACTIVITIES

EVALUATE THE PROCESS

Team members’ perception of the process’s effectiveness and success will continue to evolve after the project concludes—however; it’s worthwhile for the team to discuss and document lessons learned. This will include identifying what worked and what didn’t work, identifying results, successes, mistakes, and

level of satisfaction among members. The identification of lessons learned, debriefing the process and acknowledging the end of the project’s phase will support closure for the Project Team.

CELEBRATE

The Project Manager and Chair(s) should acknowledge and thank the team and others for their commitment and hard work, and celebrate the achievement of the project’s outcomes and deliverables. Not only is this an opportunity for the team to celebrate the project’s successful completion, but will assist in the continual commitment to the implementation.

FOLLOWUP/MONITORING

In addition to convening collaborative decision-making processes to develop recommendations to resolve air management issues, CASA also takes responsibility for monitoring what happens to the recommendations—including their effectiveness if they are implemented. This monitoring function falls under the CASA Performance Measures Committee.

// IN CLOSING

Those who have an interest in this guide will understand that multi-stakeholder discussions are limited only by the participants' willingness to collaborate and their ability to respond to evolving needs and current information. This guide provides a snapshot of an approach that has served CASA well, but it is a constantly changing picture. The authors believe that the guide should be updated frequently, to reflect new ideas and circumstances.

The stakeholders who participate in the Clean Air Strategic Alliance have a long and successful track record, developing consensus agreements that have helped to shape Alberta's regulatory landscape. For newly engaged stakeholders and their leaders, we hope this guide will make their work a little easier. For veterans of multi-stakeholder discussions, we hope the guide will serve as a reminder of an approach that works, an approach based on a shared desire to learn more about and accommodate each other's interests.

// APPENDIX A

STAKEHOLDER ENGAGEMENT PLAN PROCESS:

- Identify all stakeholders based on whether they are affected, invested or interested in the issue and potential outcome of the project. This includes government and non-government organizations, industry and Aboriginal representatives as needed.
- Complete the typology of stakeholders and consider the project's purpose for stakeholder involvement - for example, to gain expert knowledge; obtain sanction; obtain support. The analysis will assist in recognizing that stakeholders have different levels of power, interests and resources. By those involved in the project being aware of these differences, strategies can be developed to level the playing field and enable interaction to occur on a more equitable and genuinely collaborative basis.
- The analysis should be completed by selecting a minimum of two criteria such as:
 - Level of support for managing the issue. This will assist in identifying those stakeholders who will take action to support or derail the project.
 - Expertise that could support the management of the issue.
 - Level of influence or power in managing the issue or the project.
 - Level of interest in the issue.
 - Level of concern.
 - Level of impact.
- By assessing and categorizing stakeholders based on these criteria, stakeholder needs can be more fully understood, and effective strategies for engagement can be developed that align with the purpose of involvement and project outcomes.
- Through the stakeholder analysis, identify opportunities or strategies to engage stakeholders and align their interests with the project outcomes. When the interests of stakeholders are included in some manner that reflect their needs and the project outcomes, the results can transcend the posturing of single interest politics to a place where trust is built and open communication is facilitated. The project's governance structure needs to consider how and in what format stakeholders will be involved.

- The following identifies some of the opportunities for engagement:
 - Membership on the Project Team or sub-team. The sub-team would complete specific areas of work and report to the Project Team.
 - Individual stakeholder participation through one-on-one meetings with the Project Manager or Project chair, or Co-chair. The intent would be to facilitate communication, manage issues, ensure alignment of interests with project outcomes, as well as leverage specific required information or skills.
 - Ongoing group meetings involving multiple stakeholders to facilitate communication and sharing of information.
 - Issue-specific meetings involving a sector of stakeholders with expertise in a particular area to provide a structured dialogue on a facet of the problem.
- Incorporate an evaluation component into the plan that identifies new points of differentiation for involvement, and ensure engagement throughout the project. By mapping different ways for stakeholders to have meaningful involvement, transparency, credibility and the creation of common ground for issues and solutions will be enhanced.

By completing the analysis and plan, the Working Group will be able to further understand stakeholder needs and develop a range of opportunities for stakeholders to be engaged. The analysis will also help determine which groups need to be represented on the Project Team and ensure that all members have an opportunity to contribute. Sub-teams may also need to be formed to complete specific areas of the project and report to the Project Team.

Participation on the Project Team is not the only way to be meaningfully engaged in a project. Other options like workshops, open houses and surveys can provide some stakeholders and the public with sufficient opportunities to be involved.

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SECTION 1:

BUILDING A PLATFORM FOR COLLABORATION

SECTION 2:

THE COLLABORATIVE DECISION-MAKING PROCESS