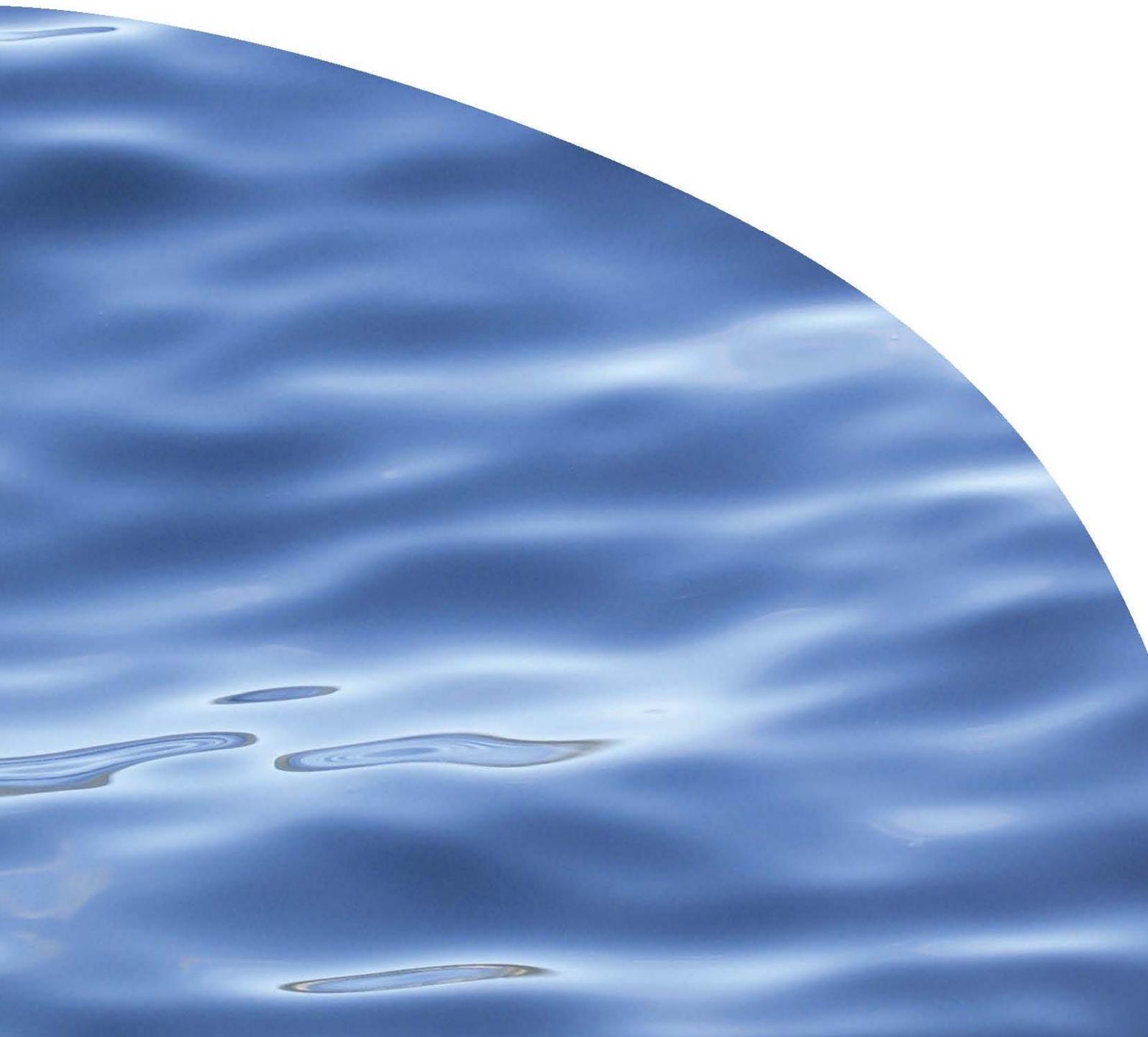




REPORT NO. 2708

## **CRITERIA FOR CHOOSING COLLABORATION**





# CRITERIA FOR CHOOSING COLLABORATION

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## 1. INTRODUCTION

The New Zealand Government released the National Policy Statement on Freshwater Management (NPSFM) in 2011 to provide direction on the outcomes it sought for freshwater quality and quantity. The NPSFM directs “local government to manage water in an integrated and sustainable way, while providing for economic growth within set water quantity and quality limits” (New Zealand Government, 2011, p 3). Councils are required to ensure that their regional plans contain objectives and limits, for both water quality and quantity, for all bodies of freshwater in their regions.

Councils may choose to prepare or review freshwater policy statements and plans using collaborative planning processes, and some are already doing so. Collaborative planning will be further encouraged if the Government’s proposed amendments to the Resource Management Act 1991 (RMA) are enacted (Ministry for the Environment, 2013). Councils thus have a choice: whether to approach a policy problem using a ‘traditional’ consultation strategy or adopt a collaborative planning process. In making this decision, councils could consider a number of criteria, some of which are generic to all policy problems, and some of which are unique to the problem at hand.

This paper begins a brief review of the scholarly literature to identify the critical criteria for when to use a collaborative planning process for natural resource management. The paper then provides a summary of the findings of a regional council workshop that explored criteria for collaborative planning, and discusses these findings within the context of the criteria identified in scholarly literature. Finally, the report makes recommendations for developing future guidance for councils considering whether to choose collaborative planning processes.

### 1.1. Background

According to Ansell and Gash (2007 p 544), in a public policy context, collaboration involves public organisations engaging with citizens:

*in collective decision-making processes in a formal, consensus-oriented and deliberative way, with aims to make or implement public policy or manage public programmes or assets.*

As yet there is no agreed definition of a ‘collaborative planning process’ within the New Zealand context. However, a list of criteria that are generally recognised as being important elements of a collaborative planning process include (Ansell & Gash 2007).

1. The process is initiated by public agencies or institutions.
2. The participants include non-[agency] actors.

3. Participants are directly engaged in decision-making and are not merely consulted.
4. The process is formally organised and meets collectively.
5. The process aims to make decision by consensus.
6. The focus of collaboration is on public policy or public management.

Collaboration is only one of a number of ways in which the public can participate in decision-making processes. A useful framework that describes the various forms of public participation in policy development is the Spectrum of Public Participation developed by the International Association for Public Participation (IAP2) (International Association for Public Participation, 2014) after the work of Arnstein (1969). According to the IAP2 spectrum, the level of participation where the public have the least amount of impact on decision-making (refer to Figure 1) is ‘informing’, *i.e.* where agencies provide information to assist with the understanding of problems and solutions. The level of participation where the public have the most impact on decision-making is empowering, *i.e.* where agencies share decision-making power with the public.

	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
<b>PUBLIC PARTICIPATION GOAL</b>	To provide the public with balanced and objective information to assist them in understanding the problems, alternatives and/or solutions.	To obtain public feedback on analysis, alternatives and/or decision.	To work directly with the public throughout the process to ensure that public issues and concerns are consistently understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.	To place final decision-making in the hands of the public.
<b>PROMISE TO THE PUBLIC</b>	We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and provide feedback on how public input influenced the decision.	We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will look to you for direct advice and innovation in formulating solutions and incorporate your advise and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.
<b>EXAMPLE TOOLS</b>	<ul style="list-style-type: none"> <li>• Fact sheets</li> <li>• Websites</li> <li>• Open houses</li> </ul>	<ul style="list-style-type: none"> <li>• Public comment</li> <li>• Focus groups</li> <li>• Surveys</li> <li>• Public meetings</li> </ul>	<ul style="list-style-type: none"> <li>• Workshops</li> <li>• Deliberate polling</li> </ul>	<ul style="list-style-type: none"> <li>• Citizen Advisory committees</li> <li>• Consensus-building</li> <li>• Participatory decision-making</li> </ul>	<ul style="list-style-type: none"> <li>• Citizen juries</li> <li>• Ballots</li> <li>• Delegated decisions</li> </ul>

Figure 1. Public participation spectrum, including goals, promises to the public, and exemplary tools of each approach (International Association for Public Participation 2014 p 4).

In order to move to a participatory process where the public has a greater impact on decision-making, governing agencies need to engage the public early in the planning cycle, *i.e.* in the policy drafting stage. Genuinely involving and empowering the community in decision-making processes means that governing agencies must actually be willing to divest some of their responsibilities and power to citizens. One way they might do this is to engage in more collaborative planning processes. According to the IAP2, collaboration means “to partner with the public in each aspect of the decision, including the development of alternatives and the identification of the preferred solution” (International Association for Public Participation, 2014 n.p.). It is important to note that collaboration is not the same as consultation. The latter is defined by the IAP2 as “to obtain public feedback on analysis, alternatives and/or decisions”. This distinction is important because in New Zealand most resource management practitioners are familiar with implementing consultative processes (because they are required under the RMA and the Local Government Act 2002 [LGA]) but, arguably, are less familiar or not familiar at all, with implementing collaborative planning processes.

Participants in planning processes are often referred to as stakeholders. Some researchers limit stakeholders to people or groups who have the power to directly affect an organisation’s future (*e.g.* Eden & Ackermann 1998), whilst other authors argue that stakeholders are a broader range of people including the “nominally powerless” (*e.g.* Bryson 2004 p 22). For Innes and Booher (2010), stakeholders are not just the deal-makers and deal-breakers but also people who could benefit from, or be harmed, by any agreement. Booth (2011) considers stakeholders to be individuals or organisations with an interest in the area or issue under consideration but specifically excludes staff of public agencies. However, others (*e.g.* Berkett & Sinner 2013; Cuppen *et al.* 2010; Ryan 2001) consider staff from public agencies are stakeholders in collaborative processes, in that they are one, among many, participants with a specific set of interests to advocate and a varying set of skills and abilities with which to do so. The term ‘stakeholder’ as used in this report refers to the people who are involved in, affected by, knowledgeable of, or have relevant expertise or experience on the issue at stake (based on the definition of Marjolein & Rijkens-Klomp 2002).

Studies of the resource management decision-making processes in Scandinavian countries (*e.g.* Salmon *et al.* 2007) illustrate how collaborative planning is being effectively employed to solve complex resource management challenges. The concept has resonated in New Zealand (*e.g.* Memon & Weber 2008, 2010; Weber *et al.* 2011; Jenkins & Henley 2013)—a country facing its own increasingly complex resource management challenges. New Zealand has had some experience with collaborative planning over the past couple of decades. For example, the Guardians of Fiordland was formed when stakeholders lobbied local and central government to take action to protect Fiordland’s marine area from adverse effects associated with human use of the natural environment (Evans & O’Brien 2013). However, it was not

until the high profile Land and Water Forum was established as a collaborative planning initiative in 2009, and later recommended collaborative planning to regional councils (Land and Water Forum 2012), that the approach really began to gain prominence. Collaborative planning processes are now being trialled in many regions throughout New Zealand—particularly for freshwater management.

Within the context of increased levels of interest in alternative planning frameworks, several collaborative planning processes already underway around New Zealand, and proposed changes to the RMA providing a legislative framework for collaborative planning, planners would benefit from guidance on criteria, or pre-conditions, for choosing collaborative processes. The following section provides a brief overview of the scholarly literature to identify what those criteria might be.

## 2. CRITERIA FOR CHOOSING COLLABORATION

A number of scholars have considered the necessary pre-conditions for collaboration. In a paper that reviewed 137 case studies, Ansell and Gash (2008 p 550) identified a set of 'starting conditions' that, according to them, either facilitate or discourage cooperation between stakeholders (and, therefore, might ultimately lead to the success or otherwise of a collaborative planning process). These include a prior history of conflict or cooperation, incentives for stakeholders to participate, and power and resource imbalances. Innes and Booher (2010), in a comprehensive study of the praxis of collaborative planning, consider that the vast majority of public decisions can be determined by other means. However, their view is that collaborative planning is appropriate and can be considered where:

- the problem is a 'wicked problem' (see section 2.1.4).
- the policy problem is not well understood. There is no point in attempting something complex and time consuming if the issues are well understood and there is general agreement on solutions.
- the policy problem is of significant and long-term social, economic, or environmental importance.
- all parties must be willing and able to participate—without this criterion, collaborative dialogue is not possible.

In the following sections we consider these pre-conditions in more detail.

### *2.1.1. History of conflict or cooperation*

Perhaps counterintuitively, and contrary to some literature (e.g. Gray 1989), a history of conflict has been shown to serve as a powerful motivation for collaboration (Futrell

2003), particularly when strong interdependencies exist between stakeholders (Ansell & Gash 2008). Innes and Booher (2010 p 35) also cite “interdependent interests” as a criterion—parties must depend to a significant degree on each other, *i.e.* each has something that others want, or the ability to block something that they want. In this sense, ‘interdependency’ also relates to incentives to participate (see below). When parties have been in a deadlock for a long time, alternative approaches that offer the possibility of resolution can appear more desirable. If the conflict has created entrenched antagonistic relationships that are problematic to genuine collaborative dialogue, mediated strategies to build social capital and trust may be necessary (Ansell & Gash 2008). Alternatively, a history of cooperation is likely to have already produced the high levels of trust necessary for the implementation of a collaborative process. Therefore, the history of conflict between parties should be taken into account in deciding whether to adopt a collaborative planning approach.

### **2.1.2. Incentives to participate**

Being able to get stakeholders to ‘the table’ and retain them for the entire process is also a necessary criterion for a successful collaborative process (Ansell & Gash 2008; Innes & Booher 2010). Collaboration requires a significant investment of time and energy, and the more people feel that their investment will result in beneficial tangible outcomes, the more likely they are to participate (Ansell & Gash 2008; Samuelson *et al.* 2005). Assuming people are at least in part motivated by rational self-interest, if a stakeholder’s assessment of the costs and benefits of participating in a collaborative process reveals that they can achieve a better outcome outside of the process, they may have little inclination to participate. In this way, each participant has their own ‘best alternative to a negotiated agreement’ (Fisher *et al.* 1991) to which they can revert if the process does not produce outcomes better than they could otherwise achieve. As an example, Ansell and Gash (2008) cite Gray (1989) in noting that environmentalists often prefer the courts over collaboration as they believe they have the upper-hand in that forum.

Agencies sponsoring a collaborative process can also motivate participation by giving a commitment to implement the recommendations of the stakeholder group. Under current wording in the RMA, this is not strictly possible because of legislative requirements for a statutory body to form its own opinion. Nonetheless, a sponsoring agency that holds a collaborative stakeholder group’s decisions in high regard will increase the incentives for stakeholder participation. The criteria that councils should consider, therefore, is whether they can get the key stakeholders to participate, and their own commitment to implementing a collaborative stakeholder group’s decisions.

### **2.1.3. Power and resources imbalances**

Each stakeholder’s incentive to participate is affected by the power they possess outside of a collaborative process. Alternatives to collaboration may be more

appropriate if power and resources appear skewed such that the process will be unfair – *i.e.* that the outcomes are at risk of capture by elites. While Habermas (1987) argues that one of the key goals of collaboration is to achieve rational communications free of power-based coercion, others contend that power is an inherent and inextricable part of all human interactions (Foucault 1988). Power may manifest in individuals in a collaborative forum due to, for example, articulateness, preparedness, knowledge and negotiation skills. Flyvbjerg (1998) argues that those with more power can exert greater control over the internal workings of a collaborative stakeholder group. Smaller, well-organised interest groups or businesses have been shown to wield greater power over larger groups with diffuse organisational structures (Olson 1965). Where power and resource imbalances could be perceived by stakeholders as impediments to participation by the less powerful, collaboration may not be the most suitable approach (Rydin & Pennington 2000). However, the sponsoring agency can enact positive strategies of empowerment for the disadvantaged (Ansell & Gash 2008). Their willingness to do this should be considered as a criterion to choosing a collaborative planning process.

#### ***2.1.4. The policy problem is 'wicked' and not well understood***

According to Hisschmöller and Hoppe (1995) and Turnhout *et al.* (2007) there are different types of policy problems. These can be identified through a framework that considers the degree of consensus of norms and values, as well as the certainty over relevant knowledge between stakeholders. Policy problems that are characterised by a high degree of certainty about relevant knowledge and consensus on relevant norms and values are categorised as a 'structured problem'. The most effective public participation approach for these types of problem is considered to be consultation (Christensen 1985). Where there is no consensus on these factors, a policy problem may be defined as 'unstructured', or a 'wicked problem' (Rittel & Webber 1973), and will require a deeper level of public participation. Collaboration may be suitable for identifying feasible and legitimate solutions to wicked problems (Innes & Booher 2010), but only if the problem is of sufficient importance to warrant the investment of resources, time, and effort. Therefore, choosing the most effective way to engage citizens in decision-making processes requires an understanding of the nature of the policy problem at hand (Hisschmöller & Hoppe, 1995). The criterion for councils to consider is whether the particular problem they are addressing is best suited to a collaborative planning process, or some other decision-making process.

Wicked problems (Rittel & Webber 1973) are common to environmental management where there is a contest for the use of scarce natural resources. They are, by their nature, hard to define and even harder to solve (Booth 2011; Innes & Booher 2010). Moreover, they tend to recur unless sustainable and durable decisions can be reached that reflect the competing interests and worldviews of stakeholders (Weber *et al.* 2011). Booth (2011) argues that such problems are often place-based, which makes it necessary to address them at a local, community level. Her observation is

that, when dealing with wicked problems, the process of planning is just as important as the outcomes. The process “is about building relationships between the community(s) and those who manage the resource (public agencies), as well as within communities and across agencies” (Booth 2011, p 4).

### **2.1.5. Conditions for learning**

An important component for addressing wicked problems is enabling dialogue that creates the conditions necessary for learning. Therefore, councils should consider, as an important criterion for choosing a collaborative planning process, whether they are prepared to facilitate such conditions. According to Gregory *et al.* (2012, p 251), learning involves understanding both facts and values through meaningful participation, which is not

*...having experts denote key aspects of the problem from their perspective, and then conducting analysis to address these issues, [this] provides neither learning nor participation on the part of the other stakeholders—nor does simply asking participants to voice their goals through small group or town hall meetings and then creating long lists of issues which are passed along to managers.*

Rather, meaningful participation is a deliberative process that involves dialogue, questioning and self-reflection to understand what really matters, and what doesn't.

A critical part of understanding the facts and values pertaining to a wicked policy problem is broad representation of different interests, as without this, key perspectives will be omitted from others' learning (Pahl-Wostl 2007; Pahl-Wostl *et al.* 2008). The absence of important stakeholders poses risks to the final outcomes of the collaborative process, in that opposition is likely from parties whose views and interests have been omitted from the process and its outcomes (Innes & Booher 2010). Therefore, councils should also consider their willingness to recruit stakeholders that represent a diverse and comprehensive range of interests and beliefs.

### **2.1.6. Leadership**

Trusted and respected leaders can assist the transition from traditional public participation approaches to collaborative approaches (Olsson *et al.* 2006). Such transition requires a unique and nuanced approach adapted to the local context (Innes & Booher 2010; Mitchell 2007). The transition, which might be regarded as process innovation (Kaine & Higson 2006) has implications for sponsoring organisations in terms of the skills, knowledge and structures required. An organisation's competencies are the skills, abilities, knowledge and culture it has accrued as a result of its experiences, and are unique to it (Gatignon *et al.* 2002). Kaine and Higson (2006) suggest that this uniqueness means that a process innovation may represent

different degrees of change for different organisations. In other words, some organisations may have better existing competencies to adopt collaborative processes than others. The implication of this, in terms of criterion for choosing a collaborative planning process, is that councils should consider whether they have the right competencies, or willingness to develop them, in order to undertake successful collaborative planning.

## 2.2. Summary

The criteria identified from the literature are summarised in Table 1, below.

Table 1. Criteria for choosing collaboration.

Criteria	Explanation
<b>History of conflict</b>	History of conflict can be incentive to try something new
<b>History of cooperation</b>	There is already a history of cooperation that can be built upon
<b>Incentives to participate</b>	The issue is about things that matter for stakeholders to the extent that they are willing to invest their time and energy in a collaborative process  Stakeholders feel they can achieve more by being in the process than staying outside the process
<b>Power and resource imbalances can be mitigated</b>	There is a willingness to adopt strategies to level power imbalances
<b>The policy problem is 'wicked'</b>	The policy problem is characterised by a lack of certainty over knowledge and disagreements over norms and values and is not well understood
<b>Conditions for learning</b>	There is a willingness to enable conditions necessary for learning
<b>All key stakeholders are included in the process</b>	Adequate representation of all values is a necessary condition for collaborative dialogue and learning
<b>Leadership</b>	Sponsoring organisations can navigate the transition to collaborative institutions

In the next section of this report we report the findings of a workshop held with regional council staff and researchers to examine their views on the criteria for when to use a collaborative process. We then consider these views in the context of the scholarly literature discussed above. Finally, we identify potential areas of research

that could be undertaken to clarify when councils should choose collaborative processes in a New Zealand context.

### 3. METHODS

Regional council and unitary authority staff from across New Zealand, as well as researchers from the Values, Monitoring and Outcomes programme<sup>1</sup>, contributed their ideas on criteria for choosing collaborative planning during a workshop held in Tauranga in March 2015. For a full list of participants see Appendix 1. The workshop was conducted as part of a two-day forum on 'Policy Processes for Freshwater Management' and the workshop was titled 'When to Use a Collaborative Process'. The outline and anticipated outcome for the workshop was as follows:

Outline: 'Collaborative planning' is all the rage, but the literature suggests it is suited to some kinds of problems more than others.

This session will explore the types of problems that are most suited to collaborative approaches and, by implication, those that are not. The discussion will invite forum participants to consider their own local contexts and to propose criteria for helping to decide when to use a collaborative process.

Outcome: Forum participants will have conceptual tools and preliminary criteria for deciding when to use a collaborative process.

The workshop was conducted using the Technology of Participation (ToP) Consensus Workshop method (see <http://top-facilitation.com/empowering-tools/consensus-workshop-method> for more information). With this method, participants are first briefed on the context of a focus question and are then invited to brainstorm ideas and responses. The responses are written onto cards that are displayed on a 'sticky wall'. The participants are then invited to cluster the ideas into related 'themes'. This process involves in-depth dialogue to identify the focus of each cluster of ideas and challenges. From this participants are able to look for underlying issues and common direction. Once the clusters are identified, the group is asked to name them using a short descriptive phrase that aligns with the focus question.

The brainstorming exercise was conducted in groups of five to six participants. Each group was asked to respond to the focus question 'Collaborative processes should be used for freshwater planning when...?' Clustering of ideas into themes and naming of

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<sup>1</sup> The Freshwater Values, Monitoring and Outcomes programme C09X1003 is funded by the Ministry of Business Innovation and Employment's Science and Innovation Group, see <http://www.landcareresearch.co.nz/science/portfolios/enhancing-policy-effectiveness/vmo>

the clusters was completed by the plenary group (*i.e.* all of the participants). Finally, each of the small groups was asked to refine the naming phrase to ‘answer’ the original focus question.

## 4. WORKSHOP FINDINGS

Four answers were generated in response to the focus question. The answers are reproduced in Table 2, along with the ideas from the brainstorming exercise that supported each answer.

Table 2 Focus question answers and supporting ideas (note, the supporting ideas are presented without any adaptation for grammatical or contextual purposes and therefore reflect exactly what was produced during the workshop).

Focus question answer	Supporting ideas
<p><b>1.</b> Collaborative processes should be used for freshwater planning when <i>conflicting interests confront/meet technical uncertainties</i></p>	<ul style="list-style-type: none"> <li>• Multiple groups with potentially conflicting interests; perhaps lack of understanding.</li> <li>• Multiple competing demands (trade-offs)</li> <li>• When more than one interest is involved</li> <li>• Uncertainty about interests/ stakeholders involved</li> <li>• Large scale and significance and high time, geography, number of people, value of resource</li> <li>• Mutually inconsistent objectives</li> <li>• Disagreement on: <ul style="list-style-type: none"> <li>○ ‘Share of cake/over-allocation’</li> <li>○ Outcome sought</li> <li>○ Problem identification</li> </ul> </li> <li>• There is a wicked problem</li> <li>• Consultative process with structured problem</li> <li>• When somebody is inequitably/adversely affected by the decision (in livelihood, viability <i>etc</i>)</li> <li>• Science is contested</li> </ul>
<p><b>2.</b> Collaborative processes should be used for freshwater planning when <i>there is greater potential for innovative solutions emerging from stakeholder interaction</i></p>	<ul style="list-style-type: none"> <li>• Where there are like opportunities for ‘left field’ solutions to emerge</li> <li>• Complexity of the problem requires multiple viewpoints, perspectives or expertise.</li> </ul>
<p><b>3.</b> Collaborative processes should be used for freshwater planning when <i>it is important to build relationships because of a history of conflict and the need for on-going relationships</i></p>	<ul style="list-style-type: none"> <li>• Other processes have been unsuccessful</li> <li>• History of conflict through other processes on the problem, <i>e.g.</i> Schedule 1</li> <li>• When the process is as important as the outcome</li> <li>• Ongoing relationships are important for resolving the issue</li> </ul>

Focus question answer	Supporting ideas
<p><b>4</b> Collaborative processes should be used for freshwater planning when <i>the parties become willing and have resources and capacity to practice a deliberative decision-making process.</i></p>	<ul style="list-style-type: none"> <li>• Where the decision-maker is willing to give up power</li> <li>• Stakeholders have capacity and / or will to resolve through collaboration</li> <li>• When governance entities are able to share or delegate decision-making</li> <li>• When you have time, willingness, resources, capacity of stakeholders to participate</li> <li>• Participants are able to influence the outcome</li> <li>• Council resources (\$\$\$, expertise) are available</li> <li>• Clear parameters in place for stakeholder group recommendations being treated in 'good faith' by all decision-makers</li> <li>• Enough perceived time is available to reach a decision</li> <li>• Solutions are long-term</li> <li>• (Low urgency)? Issue requires time for resolution</li> </ul>

## 5. DISCUSSION

The four clusters of ideas, or 'themes', identified by the participants correlated well with criteria for choosing collaborative processes identified in the scholarly literature, and participants also identified some additional ideas.

The first theme identified conflicting interests and technical uncertainties as criteria that would be important for choosing a collaborative process. Both of these criteria are key components of unstructured or wicked problems (see, for example, Hisschmöller and Hoppe (1995) and Turnhout *et al.* (2007)). The participants also identified the multi-attribute nature of these policy problems, *i.e.* there are multiple groups with a variety of competing demands and mutually inconsistent objectives. Further, the participants recognised that these problems are hard to define and are characterised by contested science.

The second theme identified the greater potential that stakeholder interactions have to produce innovative solutions for complex problems, compared with 'traditional' consultative planning processes. This theme acknowledges that solutions are generated from an iterative learning process that requires multiple viewpoints and a diversity of perspectives and expertise. Iterative learning, according to Gregory *et al.* (2012), is an essential component of a well-designed and implemented collaborative decision-making process. It allows stakeholders to examine their own motivations and tolerance to risk, consider new information not previously available and model and test alternative solutions.

Building on theme two, the third theme identified the importance of relationship-building between stakeholders for solving complex policy problems, especially where there has been a history of conflict. This theme would seem to support the theory that building relationships helps generate the trust necessary for stakeholders to engage in productive dialogue and seek solutions that are mutually beneficial. Whilst this may be an *outcome* of a collaborative process, Innes and Booher (2010) argue that collaborative planning has to proceed independent of trust, as self-interest is always at play. As trust between stakeholders is unlikely to be present at the inception of a process, it cannot, therefore, be considered a criterion for choosing a collaborative planning process. As the literature suggests, histories of either conflict or cooperation can lend themselves to collaborative planning. More important is that stakeholders have strong incentives to participate, through interdependencies, the potential for innovative solutions, or a commitment from the sponsoring agency to hold collaborative recommendations in high regard.

Finally, participants identified a number of logistical criteria as being important when considering a collaborative process, namely that stakeholders must be willing, resourced and have the capacity to participate. There was some very interesting discussion on this theme around the idea that the decision-maker (*e.g.* a council) must be willing to give up power, reflecting that a shift from a consultative process to a collaborative process is a process innovation in which power-sharing is necessary. Although participants grouped the supporting ideas together, it would seem that theme 4 is about resourcing (tangible and logistical) as well as organisational capability and capacity. So, for the former, the criterion for choosing a collaborative process would include adequate provision of resources to stakeholders. For the latter, the criterion would be that councils have the in-house skills, structures and culture necessary to support a collaborative planning process, *i.e.* the competencies to navigate the transition to collaborative institutions.

## 6. RECOMMENDATIONS FOR DEVELOPING GUIDANCE CRITERIA

Based on the brief literature review and the workshop undertaken for this report, we recommend the following research to refine guidance for councils on when to choose collaborative planning approaches.

1. An extension of the current study:
  - Address the small sample size—use survey, semi-structured interviews or repeat workshops to increase the number of participants.
  - Extend to a wider range of stakeholders—use survey, semi-structured interviews or repeat workshops to increase the range of participants and to undertake

- comparative studies. For example, the focus question could be tested with stakeholders involved in collaborative processes currently underway including iwi, and representatives of industry, environmental non-governmental organisations, and science providers. It could also be tested with planners from around New Zealand (through the New Zealand Planning Institute) and members of the Land and Water Forum.
- Analyse data using standard statistical methods (for surveys) and software programs such as NVivo (for interviews).
2. A study, based on innovation theory, that explores the impact on councils of different types of change associated with the introduction of collaborative planning. This would involve firstly characterising of the key system-components and principles of a 'traditional' Schedule 1-type process and collaborative processes. Comparisons can then be made highlighting the similarities and differences between the two and recommendations can be made on the implications of the changes in terms of organisational competencies, processes and policies, structure and culture.
  3. A study, encompassing a more comprehensive review of literature, and possibly interviews and observations, of overseas collaborative processes of relevance to draw on and complement the New Zealand experience. Suitable processes could include, for example, those undertaken in countries that have had extensive experience with collaborative planning processes (e.g. North America), involve local communities dealing with environmental management challenges, and have concluded with either successful or unsuccessful outcomes. It would also be useful to identify longitudinal studies that were specifically designed to be large enough to be multivariate, and that link substantive outputs and outcomes of collaborative planning processes with initial process design, in order to draw conclusions.

The outcome of the three studies above could be the development of a decision-tree, or matrix, which councils can use to determine whether or not they should choose a collaborative planning process over a 'traditional' consultation strategy.

## 7. CONCLUSIONS

This paper has identified a number of criteria for when to use a collaborative planning process for natural resource management. This is not an exhaustive list of all criteria that could or should be considered. Rather, it presents those criteria often identified in scholarly literature as well as those identified by participants in a regional council forum workshop. As such, this list can be considered to be initial findings, subject to

the development of further guidance for when councils should choose collaborative planning processes.

The criteria identified in this paper, framed for the perspective of councils as leaders of collaborative planning processes, are as follows:

- The policy problem is 'wicked', *i.e.* it is characterised by a lack of certainty over knowledge and disagreement over norms and values.
- Solutions to the policy problem are likely to come from existing relationships that are cooperative or from strengthened relationships where there is conflict.
- Key stakeholders will 'come to the table' because the benefits of participating outweigh the costs.
- The council is willing to recruit stakeholders that represent a diverse and comprehensive range of interests and beliefs.
- Parties representing a diverse and comprehensive range of interests and beliefs are available to participate.
- The council is willing to facilitate strategies to identify and address power imbalances.
- The council is willing to enable the conditions necessary for learning to occur.
- The council is prepared to commit the necessary resources to the process.
- The council has the capability and capacity to sponsor and lead the process.

Finally, further research is recommended to help guide councils on when to choose a collaborative process, recognising that collaboration is not a 'magic bullet' and will not be appropriate for all policy problems, all of the time. We recommend three different studies that could be undertaken to help develop a decision-tree or matrix that councils can use to determine whether or not they should choose a collaborative planning process over a 'traditional' Schedule 1-type process.

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## 9. APPENDIX

Appendix 1. Participants at the Tauranga workshop.

Participant	Organisation
<b>Don Vattala</b>	Environment Canterbury
<b>Tom Bowen</b>	Horizons Regional Council
<b>Freya Camburn</b>	Bay of Plenty Regional Council
<b>James McKibbin</b>	Bay of Plenty Regional Council
<b>Gavin Ide</b>	Hawke's Bay Regional Council
<b>Mary-Anne Baker</b>	Tasman District Council
<b>Fiona Young</b>	Environment Southland
<b>Darryl Jones</b>	Northland Regional Council
<b>Roger Bannister</b>	Ministry for the Environment
<b>Suzie Greenhalgh</b>	Landcare Research
<b>Nick Cradock-Henry,</b>	Landcare Research
<b>Garth Harmsworth</b>	Landcare Research
<b>Andrew Fenemor</b>	Landcare Research
<b>Shaun Awatere</b>	Landcare Research
<b>Oshadhi Samarasinghe</b>	Landcare Research
<b>Mahuru Robb</b>	Landcare Research
<b>Helene Kingsley-Smith</b>	Landcare Research
<b>Pike Brown</b>	Landcare Research
<b>Jim Sinner</b>	Cawthron Institute
<b>Natasha Berkett</b>	Cawthron Institute
<b>Kate Davies</b>	NIWA
<b>Rob Davies-Colley</b>	NIWA
<b>Marc Tadaki</b>	University of British Columbia
<b>Ken Hughey</b>	Lincoln University
<b>Geoff Kaine</b>	Geoff Kaine Research
<b>Margaret Kilvington</b>	Private consultant