

Slide 1



Developing a
'Competency to Collaborate'

Research Partnerships

Michael Warner, ODI.

February 2005

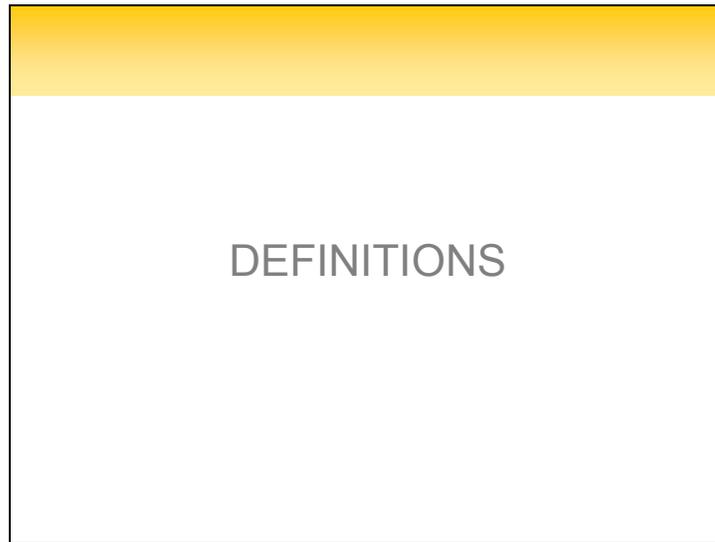
Slide 2



Agenda

- definitions
- communication skills
- the partnering process
- internal assessment
- interest-based negotiation skills
- partnering agreements
- partnership performance tracking
- partnership review

Slide 3



Slide 4

A rectangular slide with a yellow gradient header bar at the top. The header text "Exercise – Characteristics of Successful Partnerships" is in a grey, sans-serif font. Below the header, there is a white body containing a bulleted list of three items in a black, sans-serif font.

Exercise –
Characteristics of Successful Partnerships

- In pairs, spend a few minutes talking to your neighbour about what makes a successful partnership
- Choose one successful partnership you know about – one that has nothing to do with research, eg friend, marriage, sport, hobby, non-research work
- What makes the partnership successful? - develop a list of 'key success characteristics'

Slide 5

Key Characteristics of Successful Partnerships

- voluntary engagement
- mutual trust
- common vision
- jointly agreed objectives (shared and individual)
- complementary resources and skills
- share of benefits, risks and responsibilities
- balance of power
- added value to what each partner could achieve alone

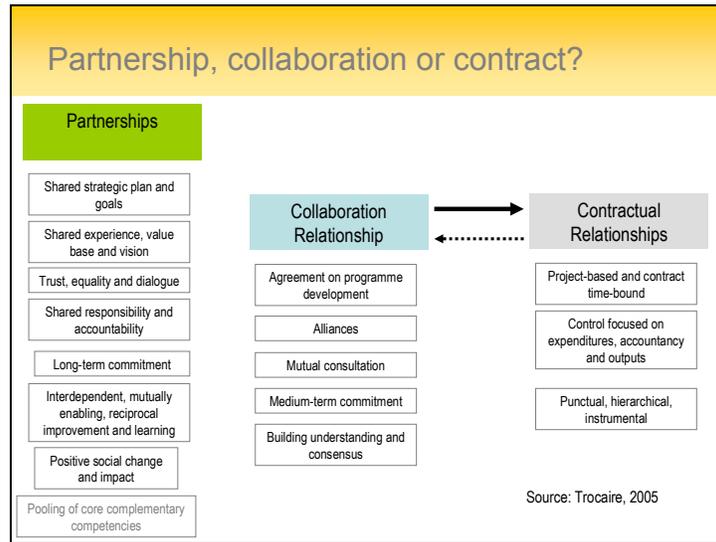
Slide 6

A Definition

“A partnership should not be regarded as an end in itself, rather a means to achieve the respective goals of individual partners, ie the ultimate success of any partnership should be assessed based on whether it led to the realisation of the partner’s objectives which they would have not been able to achieve otherwise”

Source: Haque, 2004: 280

Slide 7



Slide 8

Exercise

- In pairs, which arrangement is most familiar in your own work?
- Are there other variations not included here?
- Share with the group examples and variations

Slide 9

A Typology of Partnerships in Research

Information Sharing - agreement between parties to share data, information, analysis, studies or results.

Consultation - agreement between parties to consult with each other during the definition, analysis, reporting or dissemination of research studies

Dialogue - agreement to enter into a multi-party structured process of discussion and decision-making around research (e.g. steering committee, advisory group, networks, thematic working groups).

Informed Consent - agreement among the parties that any one party will not proceed with an action without prior consent by all parties, on the basis that each fully understands the implications of the proposed actions.

Contractual – agreement among all parties for one or more parties to provide services 'under contract' to another, but within the context of a broader jointly agreed workplan and governance structure.

Shared Workplan - agreement among all parties for each to implement an independent set of tasks, that together with the tasks of others build towards a common goal. Accountability and responsibility for deliverables rests with each party separately.

Shared Responsibility - agreement among the parties to share the overall responsibility for implementing tasks and to be jointly accountable.

Slide 10

COMMUNICATION SKILLS

Slide 11

Communication Skills

“12.5% of success in any endeavour is by knowledge or other resources. 87.5% is by relationships”.

Stanford Research

Slide 12

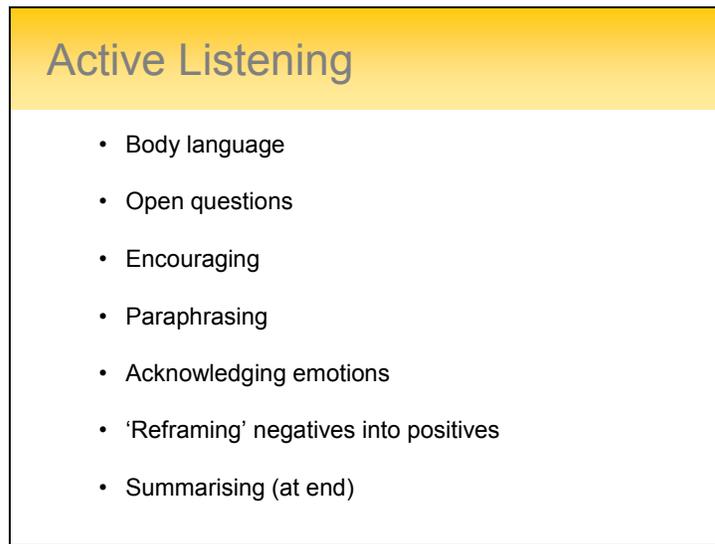
Exercise – Communication Skills

1. In pairs, one party choose a topic that you are passionate about. Enthuse about this passion to the other party. 1 minute only.
2. During this time the other party should ignore the teller, but do not leave your seat. You may: look away, humm, whistle quietly, play with a pen, look in your bag, etc.

Active Listening

1. Repeat the exercise, but this time the recipient should apply active good communication skills (*introduce next slide*)
2. Swap roles and repeat

Slide 13

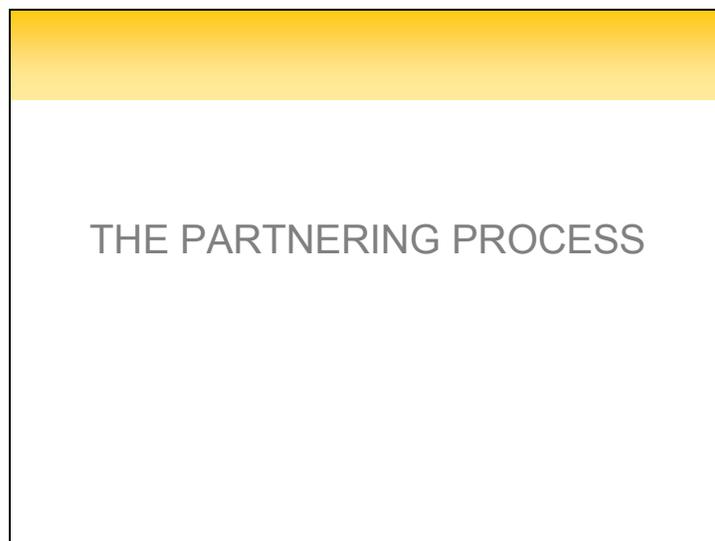


Active Listening

- Body language
- Open questions
- Encouraging
- Paraphrasing
- Acknowledging emotions
- 'Reframing' negatives into positives
- Summarising (at end)

This slide features a yellow gradient header with the title 'Active Listening'. Below the header is a white area containing a bulleted list of seven active listening techniques.

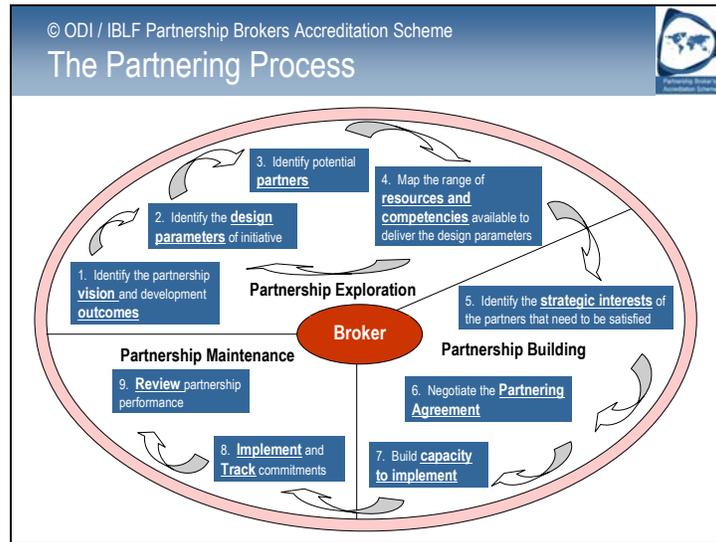
Slide 14



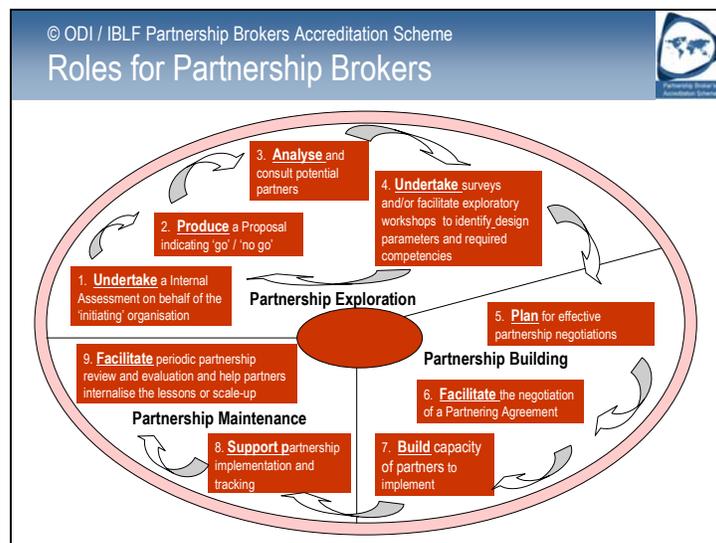
THE PARTNERING PROCESS

This slide features a yellow gradient header. Below the header, the text 'THE PARTNERING PROCESS' is centered in a large, grey, sans-serif font.

Slide 15



Slide 16



Slide 17

INTERNAL ASSESSMENT

Slide 18

- ## Checklist for an Internal Assessment
- development outcomes
 - 'reach'
 - 'hook'
 - strategic objectives/interests of your organisation
 - alternatives
 - added value
 - cost/benefit
 - outline design parameters
 - resources/competencies
 - the type of partnership
 - initial stakeholder map,
 - 'room for negotiation'
 - skills and readiness
 - obstacles and risks
 - unintended consequences

Slide 19

Checklist for an Internal Assessment

- the anticipated **development outcomes** of the partnership for society (what outcomes would secure broad buy-in across society?);
- the geographic and population **'reach'** of the partnership's anticipated activities;
- the **'hook'** into the organisation for the partnership (partnerships rarely float around in isolation of other initiatives, eg policy design or delivery, on-going management system, procedures and reporting, existing or new programmes or projects);
- the **strategic objectives/interests of your organisation** (what activities and outcomes of the initiative would secure buy-in from senior managers/officials in the organisation) – short/long-term; different objectives of sub-units/individuals;
- the **alternatives** to adopting a partnership model (i.e. the most likely way in which the organization's same strategic interests would be met in the absence of the partnership, if at all);
- the **added value** anticipated by the organisation of adopting a partnership approach, including an estimate of the **cost/benefit** of the partnership in the short- and long-term;
- the **outline design parameters** for the partnership's activities, and the related **resources/competencies** that need to be secured for this design to be effective;
- the **type** of partnership that is being formulated, eg (i) design only, design-and-implement, implement only etc; (ii) voluntary, contractual, hybrid etc; (iii) policy, programme, project level etc
- an **initial stakeholder map**, including identification of potential partners needed to bring resources/competencies to deliver the design parameters;
- the organisation's available **'room for negotiation'** during the partnership development process (i.e. its non-negotiable, negotiable, sharable and transferable interests)
- the **skills and readiness** of the organisation for entering a partnering process around the partnership **'theme'**;
- the main **obstacles and risks** of the organisation entering a partnering process, eg legal, cultural, logistical, past relationships, financial, power imbalances, or 'lack of a champion', and measures to circumvent these (amend the above accordingly)
- possible **unintended consequences** of partnership activities: for the organisation, for other partners, for wider society.

Slide 20

Interest Based Negotiation

Slide 21

Confrontational Negotiation

"Negotiation was Chris' forte, and the progress of his career had definitely been assisted by his talents in this area. He could play 'hard-ball' with the best of them; overstating his position and then, with a flare for the dramatic, conceding item by item until he arrived at the end game with the very same wins he had privately sought from the outset. Whether the other party left the meeting satisfied was of little concern".

extract from: *The New Broker* (Overseas Development Institute, London 2003)

Slide 22

Consensual Negotiation

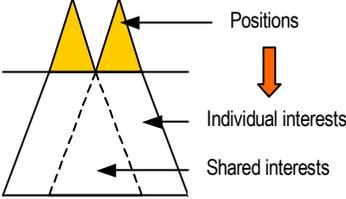
"An alternative, and a style he found himself increasingly adopting with local communities and government officials, was to negotiate by proactively trying to satisfy his opponent's hidden interests, not just his own. He found that with a few carefully chosen questions he could quickly reduce the opening statements and, often hostile, demands of his adversaries to their deeper, underlying motivations and interests. From this it was a relatively small step to demonstrate that he or his organisation was in a position to contribute to meeting these interests, not in the exact way originally conceived, but with an alternative solution that still met with their satisfaction."

extract from: *The New Broker* (Overseas Development Institute, London 2003)

Slide 23

Positions vs Interests

- ▶ **Position** – the first demand of someone, often vocal and self-centered (ie not considerate of other people)
- ▶ **Interest** – the deeper motivations (**fear** and **needs**) underlying what people say they want.



Identifying peoples underlying fears and needs creates more room to explore a wider range of solutions from which to compile a solution that satisfies the most number of people.

Slide 24

Principles of Interest Based Negotiation

- 1. Build trust through mutual understanding and meaningful communication**
 - Developing understanding through active listening
 - Paraphrase and summarise to demonstrate understanding
 - Use open rather than closed questions
- 2. Focus on revealing underlying interests rather than positions**
 - Adopt interest-based (consensual) negotiation style rather than positional
- 3. Widen the options for a solution through the creativity and lateral thinking that comes from joint problem solving**
 - Apply brainstorming techniques (especially when negotiation is stalling)
- 4. Reach agreement that satisfies interests and adds value for all parties**

Slide 25

Exercise – Mining in a Protected Area

Slide 26

Briefing Notes for Mr. Antonio Reyes of Ultimate Mining Limited

In a hidden valley, high in the forests of the Cordillera region of the Philippines, lies the gazetted 240 km² Cordillera National Reserve. Management of the reserve is the sole responsibility the Department of Environment and Natural Resources (DENR). Very recently a domestic mining company – Ultimate Mining Limited – has begun to show interest in the possibility of exploring for copper and nickel within the reserve. Although the DENR would prefer mining not to be undertaken in the Reserve, there are a number of precedents of this activity taking place. It is at the discretion of the government to decide whether a mining company is granted exploration or mining rights. As we speak, a representative of Ultimate Mining Limited is on his way to visit the Secretary of DENR to discuss the matter.

You are Mr. Antonio Reyes, a representative of Ultimate Mining Limited and the company's principal public-relations officer. You have a pleasant manner, and people generally like you the first time they meet you. You have come to visit Secretary Jose Cruz of DENR to seek permission for your company to explore for minerals within the Cordilleras protected area. Your company's satellite imagery data tells you that rich deposits of minerals are likely to be found in the lowland alluvial floodplains of the reserve.

It is the morning of the meeting and you are not at all happy. You recently saw Secretary Cruz make a television speech in defence of the protected area and the rare One Footed Blue Parrot whose habitat the area is. Although your company has yet to secure the necessary exploration permits, you thought you had an agreement 'in principle' that this would be granted. After all, at this point in time you are only asking permission to 'explore' the mining potential of the area. There is no decision as yet to actually mine for minerals and therefore disturbance to wildlife and habitat will be minimal.

You come armed with a strategy to resolve the problem. Aware now that Secretary Cruz will be reluctant to allow you permission to explore for minerals, you think that you might work around this by offering to grant his department of a one-off contribution to support their conservation efforts. You have up to PhP 1,000,000 to use for this purpose, but you know that the Mine Manager would like you to keep the amount as low as possible. Payment of the sum involved would be fully transparent, disclosed in the company accounts as a tax deductible charitable gift.

Slide 27

Briefing Notes for Secretary Jose Cruz of the Department of Environment and Natural Resources (DENR)

In a hidden valley, high in the forests of the Cordillera region of the Philippines, lies the gazetted 240 km² Cordillera National Reserve. Management of the reserve is the sole responsibility the Department of Environment and Natural Resources (DENR). Very recently a domestic mining company – Ultimate Mining Limited – has begun to show interest in the possibility of exploring for copper and nickel within the reserve. Although the DENR would prefer mining not to be undertaken in the Reserve, there are a number of precedents of this activity taking place. It is at the discretion of the government to decide whether a mining company is granted exploration or mining rights. As we speak, a representative of Ultimate Mining Limited is on his way to visit the Secretary of DENR to discuss the matter.

You are Secretary Jose Cruz of DENR. Ultimately, all decisions regarding land and resource use within the Cordillera protected area rest with you. You are particularly happy that the reserve has been gazetted since the upper reaches of the watershed within the reserve are home to the habitat of the very rare One Footed Blue Parrot. There are, however, no other species of particular rarity or importance within the reserve.

You have been told that Mr. Antonio Reyes of Ultimate Mining Limited has come to visit you about constructing a mine in the protected area. You are unhappy about this. You therefore have very little interest in talking to him, except that you are aware that he may be about to offer your Department some sort of financial incentive, for conservation purposes. This incentive is definitely of interest to you since your Department's budget is soon to be drastically cut. Without a rapid injection of around PhP 1,500,000, it will be impossible for your Department to manage those upland habitats within the reserve, which are so critical to the long-term protection of the One Footed Blue Parrot. However, you recently made a television speech in defence of the said Parrot and are not sure how the public would perceive the payment, even if declared and 'ring-fenced' for conservation purposes. You are also reluctant to be seen to have reneged on this public stance.

Slide 28

Task

- Apply the four principles of interest-based negotiation to reach agreement on what to do next

Partnering Agreements

Types of Agreement	
Principal-Agent (funding agreement?)	Partnering Agreements (modus operandi, joint research programme?)
• Dominant period of design is prior to contract signing	• Dominant period of design is after agreement signing
• Legally binding under contract law	• Of voluntary or legal status, eg MoUs
• Often seeks to transfer risk from principal to agent	• Seeks to allocate risk between parties, or to party most able to manage it
• Obligations for services generally dictated by one party (principal)	• Reciprocal obligations between parties
• Terms of contract usually fixed over time	• Terms of contract readily re-negotiable
• Workplan implemented by one party (agent) or consortium	• Workplan implemented by wide range of parties with pooled resources

Slide 31

Ingredients of a Partnering Agreement

- **representatives** of each partner organisation and their status
- **geographic boundaries** and/or **target population** of the partnership activities
- a (common) **vision** statement
- the **objectives** of the partnership: shared by all parties; specific to each organisation
- **joint workplan**, encompassing: activities, schedules and performance indicators; resource commitments; and responsibilities
- **funding arrangements/contracts**
- **decision-making principles**
- **grievance mechanism** to resolve differences
- **project management** responsibilities
- rules for **branding** (using own, each others), and other rules for the public profile of the partnership
- **intellectual property** and confidentiality rules
- procedures for **accountability, transparency and on-going communications** (i) between the partners, (ii) between the partners and their constituents (parent organisations), (iii) between the partners and the beneficiaries of partnership activities, and (iv) between the partnership other external audiences, including the general public and media
- **measures to strengthen the capacity** of partners to implement their commitments
- procedures for **monitoring and measuring** the performance of the partnership against both the business and wider social objectives
- rules for individual partners to leave or join the partnership, and an **exit strategy** for the partnership as a whole
- a strategy for **sustaining the outcomes** of the partnership over the long-term

Slide 32

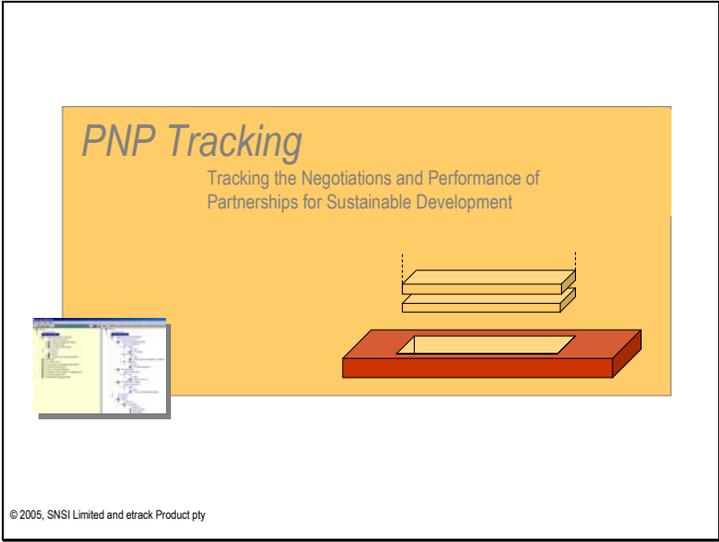
Exercise

- In pairs, select one research (or other) partnership that one of you knows about in some detail, and discuss until all parties have the basic 'story'.
- Which ingredients of a partnering agreement seem to have been omitted from the way in which the collaboration worked/works?
- Did/does this omission matter to the success of the partnership?

Slide 33



Slide 34



Slide 35

PNP Tracking

Partnership Negotiations and Performance Tracking

- ▶ As an organisation becomes more dependent on partnership-based initiatives, it is important to have an internal capability to track the performance of individual partnerships over time

Managers need to be able to:

- ▶ track the real **costs** involved in the deployment of an organisation's assets, cash or staff competencies in a partnership arrangement;
- ▶ react to 'project-creep' so as to maintain the intended balance of **project outcomes** between different internal organisational objectives: policy delivery, risk reduction, compliance, cost savings, new businesses etc; as well as between these objectives and those of the other partners;
- ▶ **integrate** activities involving partnerships with unilateral actions undertaken by the organisation.

© 2005, SNSI Limited and Etrack Product Pty

Slide 36

Partnership Review

Slide 37

SWOT Analysis – applicable to both performance & relationships

A SWOT analysis helps find the best match between the trends in the external environment and the internal capabilities of the partnership.

Strength - is a resource or capacity the partnership can use effectively to achieve its objectives

Weakness - is a limitation, fault or defect in the partnership that will keep it from achieving its objectives.

Opportunity - is any favourable situation (change or trend) in the partnership's environment that will enhance the partnership's ability to achieve its objectives.

Threat - is an unfavourable situation (barrier, constraint) in the partnership's environment that potentially damages the partnership's ability to achieve its objectives.

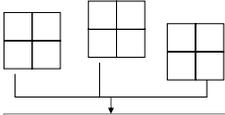
In general, an effective strategy is one that takes advantage of the partnership's opportunities by employing its strengths and wards off threats by avoiding them

Slide 38

SWOT Analysis – Steps

1. Each partner organisation undertakes their own internal, or facilitated, SWOT analysis, and prioritises the results
2. All parties bring their work together and line up the priorities
3. Where priorities around STRENGTHS are agreed by all partners, these should be acknowledged first. This helps build confidence.
4. Beginning with alignment of priorities across the partners, develop a joint strategy to:
 - exploit the STRENGTHS and OPORUNITIES;
 - overcome the WEAKNESSES
 - reduce or transform the THREATS

STRENGTHS	WEAKNESSES
1.	1.
2.	2.
3.	3.
OPPORTUNITIES	THREATS
1.	1.
2.	2.
3.	3.



STRATEGY
1. Relationship building
2. Programme change
3. Management change
4. Capacity building